

# UNITED STATES HOUSE OF REPRESENTATIVES

## 2021 FINANCIAL DISCLOSURE STATEMENT

Form A  
For Use by Members, Officers, and Employees

# HAND DELIVERED

LEGISLATIVE RESOURCE CENTER  
(Office Use Only)

2022 MAY 12 PM 1:25

MC

Name: Charles J. Fleischmann

Daytime Telephone: \_\_\_\_\_

A \$200 penalty shall be assessed against any individual who does not file this statement 30 days late.

FILER STATUS	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: TN District: 03	<input type="checkbox"/> Officer or Employee	Employing Office: _____	Staff Filer Type: (If Applicable) <input type="checkbox"/> Shared <input type="checkbox"/> Principal Assistant
	REPORT TYPE	<input checked="" type="checkbox"/> 2021 Annual (Due: May 16, 2022)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination	Date of Termination: _____

### PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS

<p>A. Did you, your spouse, or your dependent child:</p> <p>a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period? <b>or</b></p> <p>b. Receive more than \$200 in unearned income from any reportable asset during the reporting period?</p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>	<p>F. Did you have any reportable agreement or arrangement with an outside entity during the reporting period or in the current calendar year up through the date of filing?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<p>B. Did you, your spouse, or your dependent child purchase, sell, or exchange any securities or reportable real estate in a transaction exceeding \$1,000 during the reporting period?</p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>	<p>G. Did you, your spouse, or your dependent child receive any reportable gift(s) totaling more than \$415 in value from a single source during the reporting period?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<p>C. Did you or your spouse have "earned" income (e.g., salaries, honoraria, or pension/IRA distributions) at \$200 or more during the reporting period?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>	<p>H. Did you, your spouse, or your dependent child receive any reportable travel or reimbursements for travel totaling more than \$415 in value from a single source during the reporting period?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<p>D. Did you, your spouse, or your dependent child have any reportable liability (more than \$10,000) at any point during the reporting period?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>	<p>I. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article during the reporting period?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<p>E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>	<p>ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"</p>

### IPO AND EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER EACH OF THESE QUESTIONS

<p>IPO - Did you purchase any shares that were allocated as a part of an Initial Public Offering during the reporting period? If you answered "yes" to this question, please contact the Committee on Ethics for further guidance.</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<p>TRUSTS - Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust that benefits you, your spouse, or dependent child?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<p>EXEMPTION - Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or your dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: **Charles J. Fleischmann**

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BLOCK A			BLOCK B													BLOCK C								BLOCK D											BLOCK E	
Assets and/or Income Sources			Value of Asset													Type of Income								Amount of Income											Transaction	
<p>Identify (a) each asset held for investment or production of income and with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or source of income that generated more than \$200 in "unearned" income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use only ticker symbols).</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) provide the value for each asset held in the account that exceeds the reporting thresholds.</p> <p>For bank and other cash accounts, total the amount in all interest-bearing accounts. If the total is over \$5,000, list every financial institution where there is more than \$1,000 in interest-bearing accounts.</p> <p>For rental and other real property held for investment, provide a complete address or description, e.g., "rental property," and a city and state.</p> <p>For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.</p> <p>Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.</p> <p>If you report a privately-traded fund that is an Excepted Investment Fund, please check the "EIF" box.</p> <p>If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or jointly held with anyone (JT), in the optional column on the far left.</p> <p>For a detailed discussion of Schedule A requirements, please refer to the instruction booklet.</p>			<p>Indicate value of asset at close of the reporting period. If you use a valuation method other than fair market value, please specify the method used.</p> <p>If an asset was sold during the reporting period and is included only because it generated income, the value should be "None."</p> <p>Column M is for assets held by your spouse or dependent child in which you have no interest.</p>													<p>Check all columns that apply. For accounts that generate tax-deferred income (such as 401(k), IRA, or 529 accounts), you may check the "Tax-Deferred" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts. Check "None" if the asset generated no income during the reporting period.</p>								<p>For assets for which you checked "Tax-Deferred" in Block C, you may check the "None" column. For all other assets indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts. Check "None" if no income was earned or generated.</p> <p>Column XII is for assets held by your spouse or dependent child in which you have no interest.</p>											<p>Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in the reporting period.</p> <p>If only a portion of an asset was sold, please indicate as follows: (S (part)).</p> <p>Leave this column blank if there are no transactions that exceeded \$1,000.</p>	
SP, DC, JT	EIF		A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	
			None	\$1-\$1,000	\$1,001-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000	Spouse/DC Asset over \$1,000,000*									None	\$1-\$200	\$201-\$1,000	\$1,001-\$2,500	\$2,501-\$5,000	\$5,001-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$1,000,000	\$1,000,001-\$5,000,000	Over \$5,000,000	Spouse/DC Asset with Income over \$1,000,000*	
		Examples: Union Carbide																																		
		Simon & Schuster																																		
		ABC Hedge Fund	X																																	
JT		Benjamin F. Edwards & Co.																																		
JT		Pinnacle Bank																																		
JT		Congressional Federal																																		
JT		SmartBank																																		
JT		First Horizon Bank																																		
JT		First Bank																																		

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**Use additional sheets if more space is required.**

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In addition, certain types of income (notably honoraria, director's fees, and payments for professional services involving a fiduciary relationship) are totally prohibited.

**Use additional sheets if more space is required.**

# SCHEDULE D - LIABILITIES

Name: Charles J. Fleischmann

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or your dependent child. Mark the highest amount owed during the reporting period. Members: Members are required to report all liabilities secured by real property including mortgages on their personal residence. Exclude: Any mortgage on your personal residence (unless you rent it out or are a Member); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to you by a spouse or the child, parent, or sibling of you or your spouse. Report a revolving charge account (i.e., credit card) only if the balance at the close of the reporting period exceeded \$10,000. \*Column K is for liabilities held solely by your spouse or dependent child.

SP, DC, JT	Creditor	Date Liability Incurred MO/YR	Type of Liability	Amount of Liability										
				A \$10,001- \$15,000	B \$15,001- \$50,000	C \$50,001- \$100,000	D \$100,001- \$250,000	E \$250,001- \$500,000	F \$500,001- \$1,000,000	G \$1,000,001- \$5,000,000	H \$5,000,001- \$25,000,000	I \$25,000,001- \$50,000,000	J Over \$50,000,000	K Over \$1,000,000* (Spouse/DC Liability)
Example	First Bank of Wilmington, DE	5/20	Mortgage on Rental Property, Dover, DE				X							

# SCHEDULE E - POSITIONS

Report all positions, compensated or uncompensated, held during the current or prior calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, nonprofit organization, labor organization, or educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Name of Organization

# **SCHEDULE F – AGREEMENTS**

Name: **Charles J. Fleischmann**

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Identify the date, parties to, and general terms of any agreement or arrangement that you have with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties to Agreement	Terms of Agreement

# **SCHEDULE G – GIFTS**

Report the source (by name), a brief description, and the value of all gifts totaling more than \$415 received by you, your spouse, or your dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality from an individual (which may not include a registered lobbyist or foreign agent), local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$166 or less need not be added towards the \$415 disclosure threshold. (Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule and some gifts require prior approval of the Committee on Ethics.)

Source	Description	Value
Example: Mr. Joseph Smith, Arlington, VA	Silver Platter (prior determination of personal friendship received from the Committee on Ethics)	\$500

<b>Name:</b> Charles J. Fleischmann	<b>Page</b> <u>8</u> <b>of</b> <u>10</u>
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**EXCLUDE:** Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (FGDA, 5 U.S.C. § 7342), political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to the filer.

[illegible]



**SCHEDULE I - PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA**

**Name:** Charles J. Fleischmann

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List the source, activity (*i.e.*, speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of paying an honorarium to you. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Ethics.

[illegible]

**Name: Charles J. Fleischmann**

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**Use additional sheets if more space is required.**

# Attachment 1

# ATTACHMENT 1

Charles J. Fleischmann  
December 31, 2021

## Summary of Brokerage Accounts Held Through Benjamin Edwards & Co.

Account #	Value	Dividends and Interest	Capital Gain Distributions	Gain/(Loss) on Investment Sale	Total Income	Proceeds from Investment Sales	Comments
*****3890	1,723,436	-	57,334	18,929	76,263	76,364	Details on Attachment 2
*****9133	-	-	-	(2,308)	(2,308)	-	Details on Attachment 3
*****5005	173,916	4,326	-	19,166	23,492	94,927	Details on Attachment 4
*****1695	294,538	7,704	9,807	-	17,511	-	Details on Attachment 5
Totals	2,191,890	12,030	67,141	35,787	114,958	171,292	

# Attachment 2



**BENJAMIN F. EDWARDS & CO.**  
INVESTMENT MANAGEMENT

One North Broadway Blvd., Suite 600  
St. Louis, MO 63105

001666 XPL572AF

**CHARLES AND BRENDA FLEISCHMAN**  
8714 RAMBLING ROSE DR  
OOLTEWAH, TN 37363-7118



**Notice to Investors:** This is a Registration Statement. You are encouraged to read the statements you receive from the candidate and compare the information on these statements to this report. Please see page 2 of this report for an explanation of differences you may find.

Quarter Ending December 31, 2021



**BENJAMIN F. EDWARDS & CO.**  
INVESTMENT MANAGEMENT

**Portfolio Summary Report**  
**Quarter Ending December 31, 2021**

**Prepared For**  
**Charles and Brenda Fleischman**

**Account Name**

**Charles J Fleischmann Brenda M Fleischmann JT Ten**  
**Charles J Fleischmann Brenda M Fleischmann JT Ten**  
**Charles J Fleischmann SEP**

**Benjamin F. Edwards Advisory Portfolios**  
**Benjamin F. Edwards Private Portfolios**  
**Benjamin F. Edwards Private Portfolios**

**Account Number**

**ETF-00800**  
**EPP-01100**  
**EPP-00000**

**Your Financial Advisor**

**WARD PETTY**  
**Benjamin F. Edwards & Company**  
**1101 Broad Street**  
**Suite 100**  
**Chattanooga, TN 37402**  
**423-699-5411**

**Notice Regarding Portfolio Accounting Differences:** Please note that the data shown on this report is for informational purposes and does not constitute an official tax document. The data shown on this report may differ from the data on reports generated by other sources. These differences can be explained by a number of factors, including, but not limited to, the use of trade data versus settlement data for reporting purposes, the treatment of accrued income on securities, the security pricing source utilized and reports generated by different reporting systems for the same account. Please refer to your 1099 form in all instances for tax reporting purposes. If you have any questions, please feel free to contact your financial representative. Please refer to the end of the document for important information regarding this report.

# Portfolio Summary

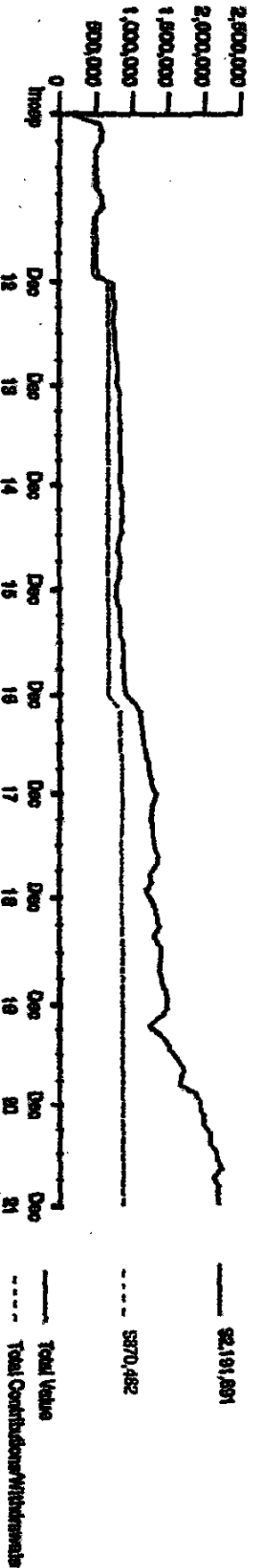
Charles and Brenda Fleishman

Portfolio Change	Inception (10/22/2011)	Since Inception	Fiscal YTD	Current ATR	Taxable Account Information 01/01/2021 - 12/31/2021
Beginning Market Value	\$144,166	\$1,918,777	\$2,108,961	Income Received	\$10,892
Net Contributions/Withdrawals	\$728,324	\$0	\$0	Net Gain or Loss	Short \$5,765
Gain/Loss + Income Earned	\$1,321,409	\$278,114	\$32,890	Realized	\$13,262
Ending Market Value	\$2,191,891	\$2,191,891	\$2,191,891	Unrealized	\$2,412
Year Ending 12/31/2021				Capital Gain	\$1,499
Year Ending 12/31/2021					\$2,907

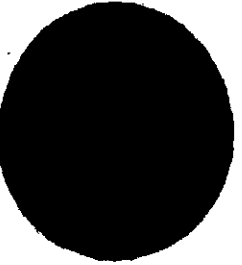
Investment	Allocation	Since Inception	Fiscal YTD	Current ATR	Market Value	Assets	Total Value
Your Portfolio	100.0%	10.32% <sup>1</sup>	14.23%	3.99%	\$1,191,726	\$165	\$2,191,891
S&P 500 Total Return		17.39% <sup>1</sup>	28.71%	11.09%			
Bloomberg Government Credit		3.08% <sup>1</sup>	-1.75%	0.16%			
MSCI EAFE Net Taxes		8.60% <sup>1</sup>	11.29%	2.89%			

Benjamin F. Edwards Advisory Portfolios	7.9%	10.86% <sup>1</sup>	17.15%	6.17%	\$173,916	\$0	\$173,916
Benjamin F. Edwards Private Portfolios (EPP-011895)	13.5%	4.05% <sup>1</sup>	6.55%	1.73%	\$294,538	\$0	\$294,538
Benjamin F. Edwards Private Portfolios (EPP-002880)	78.6%	12.00% <sup>1</sup>	15.37%	4.19%	\$1,723,271	\$165	\$1,723,436

## Portfolio Growth



## Asset Allocation & Style Attribution



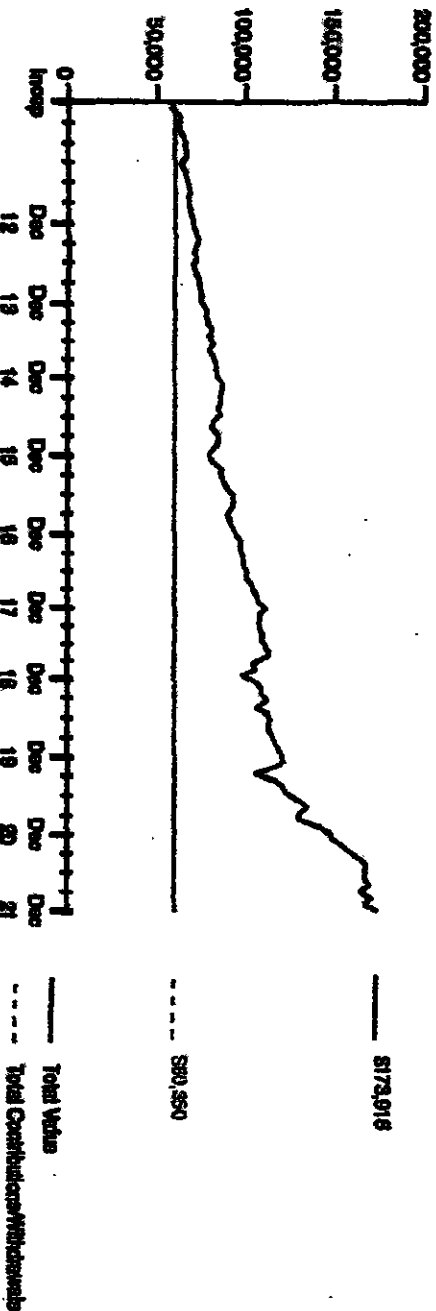
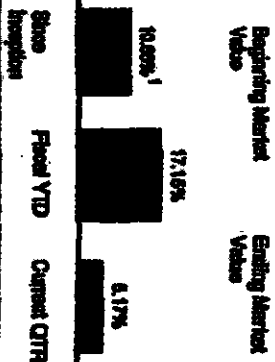
<sup>1</sup> Annualized Return: S-Cash, Money Funds, and Bank Deposits  
Historical portfolio returns include the impact of leveraged accounts previously held.  
Please see important disclosures regarding performance, fees, and investments at the end of this report.



Charles J. Fleischmann Brenda M.  
Fleischmann JT Ter  
Benjamin F. Edwards Advisory  
Portfolios  
Confidence Growth & Income

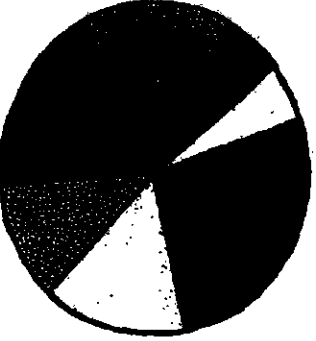
Inception Date 09/27/2011  
Quarter Ending 12/31/2021  
Year Ending 12/31/2021

Account Change	Since Inception	Fiscal YTD	Current QTR
Beginning Market Value	\$20,195	\$148,461	\$165,384
Net Contributions/Withdrawals	\$158	\$0	\$0
Gain/Loss + Income Earned	\$113,585	\$25,455	\$8,582
Ending Market Value	\$173,918	\$173,916	\$173,916
Account & Benchmark Returns (%)			
Year Account	10.98%	17.16%	8.17%
Blended Index*	9.89%	12.64%	4.52%



Slippage Allocation & Top 10 Account Holdings

Income Received (YTD)	Net Realized Gain/Losses (YTD)
	Short Term
	Long Term
	Total
	Unrealized
	Short Term
	Long Term
	Total



SPDR Index S&P 500 World Ex US ETF	13.50%
SPDR Portfolio S&P 500 Value ETF	11.50%
SPDR Ser Tr DJ Wilshire Small Cap	8.50%
SPDR Ser Tr DJ Wilshire Mid	8.10%
Shares Gold Tr iShares New	8.00%
SPDR Ser Tr S&P 500 Growth ETF	8.00%
iShares Bonds Dec 2024 Term Corporate ETF	8.00%
iShares Bonds Dec 2022 Term Treasury ETF	8.00%
SPDR Ser Tr S&P 500 Small Cap Growth ETF	5.50%
SPDR Ser Tr DJ Wilshire Mid Cap	4.50%

**Charles J. Fleischman Jr. Trust**  
**Fleischman JT Trust**

**Benjamin F. Edwards Private**  
**Portfolios**  
**Conservative Income**

**Inception Date 02/05/2013**  
**Quarter Ending 12/31/2021**  
**Year Ending 12/31/2021**

Account Change	Since Inception	Fiscal YTD	Current QTR
Beginning Market Value	\$205,427	\$276,430	\$280,521
Net Contributions/Withdrawals	\$1,657	\$0	\$0
Gain/Loss + Income Earned	\$87,454	\$16,108	\$5,017
Ending Market Value	\$294,538	\$294,538	\$284,538

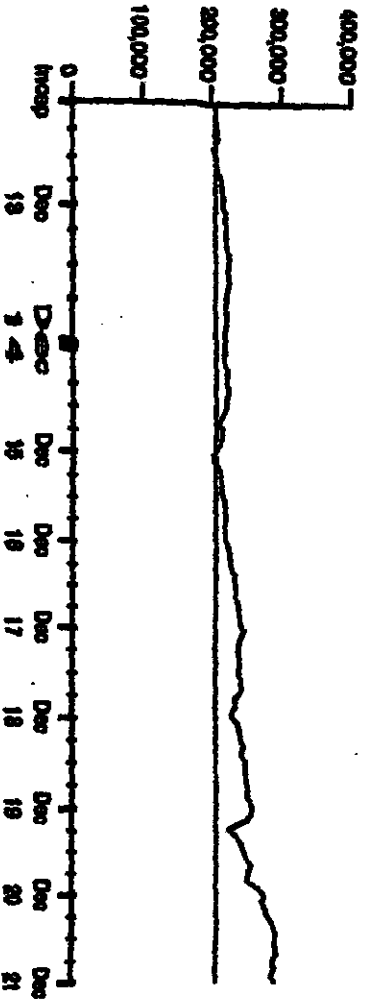
Account & Benchmark Returns (%)	Year Account	Since Inception	Fiscal YTD	Current QTR
S&P 500 Total Return	4.05%	18.04%	28.71%	11.02%
Bloomberg Government Credit	3.09%	3.09%	-1.76%	0.18%
Bloomberg Municipal	3.97%	3.97%	1.62%	0.72%
MSCI EAFE Net Taxes	6.65%	6.65%	11.28%	2.89%
2026 F500BVCVC*	6.61%	6.61%	3.07%	2.32%

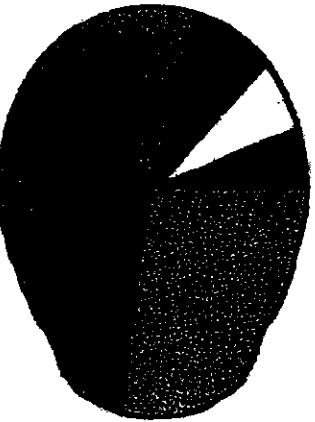
Beginning Market Value	Ending Market Value
\$205,427	\$294,538

Since Inception	Fiscal YTD	Current QTR
4.05%	6.65%	1.78%



Since Inception & Top 10 Account Holdings



28.4% - U.S. Fixed Income
18.9% - U.S. Equity Large Cap Growth
14.2% - U.S. Fixed Income Intermediate Term Government Bonds
10.1% - Global Equity Large Cap Value
8.8% - Global Bond All Cap Value
8.7% - Global Equity
8.6% - U.S. Fixed Income High Yield Bonds
8.3% - Cash <sup>1</sup>

Income Received (YTD)	Net Realized Gain/Losses (YTD)
Short Term	\$0
Long Term	\$0
Total	\$0
Unrealized	\$11,303
Short Term	\$184
Long Term	\$2,217
Total	\$2,401

T Rowe Price Balanced	18.2%
Vanguard Wellington Income Fund Investor Shares	13.5%
The Oakmark Global Fund Investor Class	10.1%
First Eagle Global Class I	8.8%
Dodge & Cox Global Stock Fund	8.7%
Pharos Income Fund Class P	7.4%
Dodge & Cox Income Fund	7.1%
BlackRock Multi-Sector Income Fund	7.1%
Horizon Bond Fund Institutional Class	7.1%
Fidelity Floating Rate High Income	6.8%

<sup>1</sup>Annuitant Return: 2-Cash, Money Fund, and Bank Deposits.  
 \*Please see important disclosures (regarding performance, fees, and investments) at the end of this report.

**Performance History Report**  
**December 31, 2021**  
**For Charles and Brenda Fiechtman**

Period Ending Date	Beginning		Net Change/End of Period	End of Period	Year-to-Date	
	Month	Value (\$)		Value (\$)	Return	Percentage
09/22/2011		144,159	-14,842	410,348	-4%	-4%
09/30/2011		539,994	23,703	-74,703	4%	0%
12/31/2011						
03/31/2012		499,991	26,293	51	6%	5%
09/30/2012		513,995	-12,074	90,024	-2%	3%
09/30/2012		591,945	21,999	-100,100	4%	9%
12/31/2012		513,731	9,179		2%	9%
03/31/2013		522,910	18,794	205,979	3%	13%
09/30/2013		747,093	-8,999		-1%	12%
09/30/2013		741,395	29,729		4%	16%
12/31/2013		771,121	38,670	909,791	5%	22%
03/31/2014		809,791	12,999		2%	24%
09/30/2014		822,450	29,112	891,562	4%	29%
09/30/2014		851,592	-17,278	894,299	-2%	29%
12/31/2014		834,299	10,999	944,342	1%	29%
03/31/2015		944,342	13,459	957,797	2%	30%
09/30/2015		957,797	-3,107	954,990	0%	29%
09/30/2015		954,990	-57,302	797,398	-7%	29%
12/31/2015		797,398	33,392	830,780	4%	25%
03/31/2016		830,780	2,104	832,994	0%	26%
09/30/2016		832,994	7,951	940,935	1%	27%
09/30/2016		940,935	42,029	992,991	5%	33%
12/31/2016		992,991	8,101	990,992	1%	35%
03/31/2017		990,992	57,612	1,111,073	6%	43%
09/30/2017		1,111,073	34,709	1,145,782	3%	47%

Historical portfolio returns include the impact of terminated accounts previously held.  
Please see Important disclosures regarding performance, fees, and benchmarks at the end of this report.

**Portfolio History Report**  
**December 31, 2021**  
**For Charles and Brenda Feldman**

Period Ending Date	Beginning Balance		Contributions (Withdrawals)	Net	Ending Balance		Year Portfolio Returns	
	Value	Value			Value	Value	Percent	Return
09/30/2017	1,148,782		58,884	25,000	1,224,776		5%	84%
12/31/2017	1,224,776		45,740		1,270,516		4%	80%
09/31/2018	1,270,516		-6,011		1,264,505		0%	59%
09/30/2018	1,264,505		22,389		1,286,894		2%	62%
09/30/2018	1,286,894		65,798		1,352,690		5%	70%
12/31/2018	1,352,690		-161,324		1,190,766		-12%	50%
09/31/2019	1,190,766		152,351	5	1,343,622		13%	69%
09/30/2019	1,343,622		33,279	7,549	1,394,450		2%	73%
09/30/2019	1,394,450		-1,056	53	1,393,447		0%	73%
12/31/2019	1,393,447		101,360	216	1,495,023		7%	86%
09/31/2020	1,495,023		-251,467	6	1,233,552		-17%	54%
09/30/2020	1,233,552		285,550		1,529,112		24%	91%
09/30/2020	1,529,112		140,887		1,669,799		9%	102%
12/31/2020	1,669,799		248,978		1,918,777		15%	140%
09/31/2021	1,918,777		62,826		1,981,603		3%	146%
09/30/2021	1,981,603		178,634		2,160,237		9%	170%
09/30/2021	2,160,237		-51,276		2,108,961		-2%	164%
12/31/2021	2,108,961		82,880		2,191,891		4%	174%
Totals			1,321,409		728,324			

001258 XP1L972AF 013431

Historical portfolio returns include the impact of terminated accounts previously held.  
 Please see important disclosures regarding performance, fees, and benchmarks at the end of this report.

**Investment Summary Report**  
**January 1, 2021 - December 31, 2021**  
**For Charles and Brenda Feldman**

**Account Summary**

Net Realized Gains or Losses		Account Tax		Short Term		Long Term	
		Status					

ETF-005005	Benjamin F. Edwards Advisory Portfolios	Taxable				\$13,261.86	\$5,784.64
EPP-011695	Benjamin F. Edwards Private Portfolios	Taxable				\$0.00	\$0.00
EPP-003890	Benjamin F. Edwards Private Portfolios	Tax Deferred/Exempt				\$-2,063.15	\$21,011.95

<b>Total Taxable Realized</b>						\$13,261.86	\$5,784.64
<b>Total Tax Deferred/Exempt Realized</b>						\$-2,063.15	\$21,011.95

**Realized Total**

\$11,198.71

\$26,796.59

Unrealized Gains or Losses		Account Tax		Short Term		Long Term	
		Status		Gains		Losses	

ETF-005005	Benjamin F. Edwards Advisory Portfolios	Taxable		\$2,855.80	\$-826.70	\$32,821.88	\$-140.26
EPP-011695	Benjamin F. Edwards Private Portfolios	Taxable		\$184.37	\$-1.07	\$30,488.57	\$-216.94
EPP-003890	Benjamin F. Edwards Private Portfolios	Tax Deferred/Exempt		\$3,040.34	\$0.00	\$97,232.02	\$-478.29

<b>Total Taxable Unrealized</b>				\$3,040.27	\$-827.77	\$63,310.45	\$-357.26
<b>Total Tax Deferred/Exempt Unrealized</b>				\$3,040.34	\$0.00	\$97,232.02	\$-478.29

**Unrealized Total**

\$6,080.61

\$-827.77

\$130,550.45

\$-835.55

Capital Gains Detail Report: Taxable Accounts  
January 1, 2021 - December 31, 2021

For Charles J Fleckmann Brenda M Fleckmann JT Ten

Account Number: ETF-005005

Symbol	Description	Acquired Date	Sale Date	Cost	Proceeds	Gain/Loss
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Realized Gains or Losses

Short-Term

Mutual Fund / ETF - Equity

5	ISHARES INC CORE MSCI EMERGING MKTS	10/22/2020	01/21/2021	275.61	335.83	60.22
69	ISHARES INC CORE MSCI EMERGING MKTS	10/22/2020	07/22/2021	3,803.45	4,463.53	660.08
56	ISHARES INC CORE MSCI EMERGING MKTS	04/22/2021	07/22/2021	3,698.39	3,698.51	-27.59
135	ISHARES INC MSCI EMERGING MKTS EX CHINA ETF	07/22/2021	10/25/2021	6,244.44	8,337.61	98.17
7	SECTOR SPDR TR SHS BEN INT FINANCIAL	01/21/2021	04/22/2021	214.50	244.18	29.68
8	SECTOR SPDR TR SHS BEN INT FINANCIAL	01/21/2021	10/25/2021	245.14	324.97	79.73
2	SECTOR SPDR TR SHS BEN INT INDUSTRIAL	10/22/2020	04/22/2021	160.68	202.06	41.38
1	SECTOR SPDR TR SHS BEN INT INDUSTRIAL	10/22/2020	07/22/2021	60.34	103.25	22.91
21	SELECT SECTOR SPDR TR CONSUMER	04/01/2020	01/21/2021	1,984.08	3,590.09	1,606.01
1	SELECT SECTOR SPDR TR MATLS	10/22/2020	04/22/2021	55.19	51.97	-16.94
133	SPDR PORTFOLIO S&P 500 VALUE ETF	04/01/2020	01/21/2021	3,306.35	4,697.53	1,395.28
80	SPDR SIER TR DJ WILSHIRE MID	04/01/2020	01/21/2021	1,998.20	3,513.80	1,517.40
84	SPDR SIER TR DJ WILSHIRE MID CAP	04/01/2020	01/21/2021	3,409.55	6,237.02	2,827.47
3	SPDR SIER TR S&P 500 GROWTH ETF	10/22/2020	04/22/2021	164.18	221.88	57.20
171	SPDR SIER TR S&P 500 GROWTH ETF	04/01/2020	01/21/2021	5,890.87	9,712.55	3,821.68
7	VANGUARD INDEX FDS VANGUARD REIT ETF	07/23/2020	04/22/2021	553.50	695.53	131.93
3	VANGUARD INDEX FDS VANGUARD REIT ETF	10/22/2020	04/22/2021	240.09	298.80	58.71
4	VANGUARD INDEX FDS VANGUARD REIT ETF	01/21/2021	04/22/2021	340.12	391.73	51.61

\$12,458.70

Mutual Fund / ETF - Fixed Income

18	INVECO ACTIVELY MANAGED EXCHANGE TRADED COM	01/21/2021	04/22/2021	258.69	325.30	38.62
20	INVECO ACTIVELY MANAGED EXCHANGE TRADED COM	01/21/2021	07/22/2021	318.53	395.89	77.35
23	INVECO ACTIVELY MANAGED EXCHANGE TRADED COM	01/21/2021	10/25/2021	369.31	518.71	152.40
215	ISHARES IBONDS DEC 2023 TERM TREASURY ETF	01/21/2021	07/22/2021	5,529.78	5,514.77	-15.01
15	ISHARES IBONDS DEC 2023 TERM TREASURY ETF	04/22/2021	07/22/2021	385.12	384.75	-0.37
44	ISHARES IBONDS DEC 2026 TERM TREASURY ETF	04/01/2020	01/21/2021	1,155.48	1,146.74	-8.74
10	ISHARES IBONDS DEC 2026 TERM TREASURY ETF	07/23/2020	01/21/2021	269.52	260.82	-2.50
3	ISHARES IBONDS DEC 2026 TERM TREASURY ETF	10/22/2020	01/21/2021	78.51	78.19	-0.32
44	ISHARES IBONDS DEC 2027 TERM TREASURY ETF	04/01/2020	01/21/2021	1,162.48	1,144.68	-17.82
10	ISHARES IBONDS DEC 2027 TERM TREASURY ETF	07/23/2020	01/21/2021	264.89	260.15	-4.74

01/25/2021 13:27:24 01/25/2021

Symbol	Description	Acquisition Date	Cost	Current Price	Current Value	Gain/Loss
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Realized Gains or Losses

3	ISHARES IBONDS DEC 2027 TERM TREASURY ETF	10/22/2020	01/21/2021	78.89	78.04	-0.85
44	ISHARES IBONDS DEC 2028 TERM TREASURY ETF	04/01/2020	01/21/2021	1,168.84	1,145.79	-22.85
9	ISHARES IBONDS DEC 2028 TERM TREASURY ETF	07/22/2020	01/21/2021	240.38	234.36	-6.02
3	ISHARES IBONDS DEC 2028 TERM TREASURY ETF	10/22/2020	01/21/2021	79.02	78.12	-0.90
44	ISHARES IBONDS DEC 2028 TERM TREASURY ETF	04/01/2020	01/21/2021	1,172.19	1,169.98	-2.51
9	ISHARES IBONDS DEC 2028 TERM TREASURY ETF	07/22/2020	01/21/2021	241.09	238.12	-7.97
3	ISHARES IBONDS DEC 2028 TERM TREASURY ETF	10/22/2020	01/21/2021	78.89	77.71	-1.22
46	ISHARES TR IBONDS DEC 2023 CORPORATE ETF	04/01/2020	01/21/2021	1,140.14	1,208.54	68.40
8	ISHARES TR IBONDS DEC 2023 CORPORATE ETF	07/22/2020	01/21/2021	209.89	209.89	-0.15
3	ISHARES TR IBONDS DEC 2023 CORPORATE ETF	10/22/2020	01/21/2021	78.71	78.89	0.02
36	ISHARES TR IBOXX USD INV1 GRADE CORP BD ETF	04/01/2020	01/21/2021	4,386.61	4,890.72	504.11
3	ISHARES TR IBOXX USD INV1 GRADE CORP BD ETF	10/22/2020	01/21/2021	402.80	407.56	4.76
15	ISHARES TR MBS ETF	07/22/2020	01/21/2021	1,880.72	1,827.87	-52.85
1	ISHARES TR MBS ETF	10/22/2020	01/21/2021	110.19	108.51	-1.68
19	ISHARES TR MBS ETF	01/21/2021	07/22/2021	2,088.88	2,061.71	-27.15
3	ISHARES TR MBS ETF	04/22/2021	07/22/2021	328.61	325.58	-3.03
46	ISHARES 10+ YEARS CREDIT BOND ETF	04/22/2021	07/22/2021	3,261.06	3,430.57	169.49
51	SPDR SERIES TRUST BRCLYB INTER ETF	07/22/2020	01/21/2021	1,898.82	1,878.60	-19.22
						\$803.16

Total Shares: 1,000.00    Total Cost: \$100,000.00    Current Value: \$108,803.16    Gain/Loss: \$8,803.16

Long-Term

Mutual Fund / ETF - Equity

0.5000	ISHARES GOLD TR ISHARES NEW	04/18/2019	05/24/2021	12.17	17.94	5.77
67	ISHARES GOLD TRUST ISHARES	04/18/2018	01/21/2021	861.36	1,190.25	328.89
31	ISHARES GOLD TRUST ISHARES	07/22/2018	01/21/2021	284.61	550.72	186.11
20	ISHARES GOLD TRUST ISHARES	04/18/2019	01/21/2021	243.43	365.30	111.87
45	SPDR SER TR DJ WILSHIRE MID	04/01/2020	04/22/2021	1,487.15	3,057.32	1,550.17
33	SPDR SER TR DJ WILSHIRE MID CAP	04/01/2020	04/22/2021	1,339.47	2,600.88	1,261.41
4	SPDR SER TR DJ WILSHIRE SMALL CAP	04/01/2020	10/28/2021	182.82	344.44	161.62
27	SPDR SER TR S&P 500 GROWTH ETF	04/01/2020	04/22/2021	828.56	1,628.76	700.20
10	SPDR SER TR S&P 500 GROWTH ETF	04/01/2020	07/22/2021	243.81	648.97	305.08

**Capital Gains Detail Report: Taxable Accounts**  
**January 1, 2021 - December 31, 2021**

For Charles J Fleischmann Breeds III Fleischmann JT Ten

Account Number: ETF-009006

Symbol	Description	Purchase Date	Sale Date	Cost	Proceeds	Gain/Loss
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**Realized Gains or Losses**

12	SPDR S&P TR S&P 600 SMALL CAP GROWTH ETF	04/01/2020	04/22/2021	517.82	1,045.16	527.34
62	VANGUARD INDEX FDS VANGUARD REIT ETF	10/17/2019	04/22/2021	5,808.61	6,071.81	263.20
3	VANGUARD INDEX FDS VANGUARD REIT ETF	01/23/2020	04/22/2021	288.58	288.80	7.22
10	VANGUARD INDEX FDS VANGUARD REIT ETF	04/01/2020	04/22/2021	644.54	879.32	334.78
						<b>\$5,794.64</b>

Subtotal: 517,301.05 318,755.57 527,056.58



Description	Sale Date	Proceeds
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Capital Gains Distribution

DODGE & COX GLOBAL STOCK FUND	12/22/2021	2,089.32
FIRST EAGLE GLOBAL CLASS I	12/02/2021	1,251.14
T ROWE PRICE BALANCED	12/14/2021	3,898.43
THE CARKMARK GLOBAL FUND INVESTOR CLASS	12/17/2021	2,275.68
BLACKROCK MULTI - ASSET INCOME INSTL	12/23/2021	248.52
DODGE & COX INCOME FUND	03/30/2021	128.51
DODGE & COX INCOME FUND	12/22/2021	150.98
HARBOR BOND FUND INSTITUTIONAL CLASS	12/21/2021	40.40
VANGUARD WELLESLEY INCOME FUND INVESTOR SHAS	12/21/2021	1,453.98

Total Capital Gains Distribution		5,311,392.50
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**Capital Gains Detail Report: Tax Deferred/Exempt Accounts**  
**January 1, 2021 - December 31, 2021**  
**For Charles J Fleishmann SEP**

Account Number: EPP-009890

Symbol	Description	Purchase Date	Sale Date	Cost	Proceeds	Gain/Loss
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**Realized Gains or Losses**

**Short-Term**

**Equity**

150 DRAFTKINGS INC COM CL A

08/08/2021 11/19/2021 7,852.87 5,889.52 -2,063.15

**Total Short-Term Realized Gains or Losses**

37,812.87 37,889.02 \$-7,076.15

**Long-Term**

**Equity**

50 ZIMMER HLDGS INC

12/28/2017 08/08/2021 8,005.50 7,427.11 1,421.61

**Mutual Fund / ETF - Equity**

848 FIRST EAGLE GLOBAL CLASS I

01/31/2012 07/29/2021 40,110.88 58,368.05 18,245.19

36 FIRST EAGLE GLOBAL CLASS I

12/14/2012 07/29/2021 1,714.19 2,443.53 729.34

37 FIRST EAGLE GLOBAL CLASS I

12/18/2013 07/29/2021 1,862.14 2,567.95 615.81

**Total Long-Term Realized Gains or Losses**

\$39,732.09 57,936.06 \$21,001.95

Investment

Date  
 Balance

Profits

Capital Gains Distribution

ALGER SPECTRA FUND CLASS 2	12/16/2021	11,319.37
AMERICAN NEW WORLD FUND CL. P2	12/17/2021	1,944.28
AMG YACHTMAN FUND SERVICE CLASS	12/16/2021	1,181.07
DFA REAL ESTATE SEC PTIF INSTL	12/14/2021	313.83
FIDELITY INTERNATIONAL GROWTH FUND	12/09/2021	584.29
PARNAS888 MID-CAP FUND	11/19/2021	4,914.87
PRIMECAP ODYSSEY GROWTH FUND	12/19/2021	9,005.17
T ROWE PRICE BLUE CHIP GROWTH	12/15/2021	3,908.75
T ROWE PRICE GLOBAL TECHNOLOGY	12/17/2021	15,243.65
T ROWE PRICE HEALTH SCIENCES	12/16/2021	3,559.55
VANGUARD INTL. GROWTH PORT INV CL	12/16/2021	2,658.80
WILLIAM BLAIR LARGE CAP GROWTH FUND CLASS 1	12/17/2021	2,652.28

Total Capital Gains Distribution

55,594.33

## DISCLOSURES

This document provides personalized investment information and is not intended to meet the objectives of anyone other than the individual specified in this document. The performance data quoted represents past performance and does not guarantee future results. Current performance may be lower or higher than the performance data quoted. The investment return and principal value of an investment will fluctuate, so that an investor's shares, when redeemed, may be worth more or less than their original cost. Call your financial professional for performance current to the most recent month-end.

All returns through December 31, 2017 were calculated using the Modified Dietz method. All returns thereafter are calculated using a Daily Time Weighted Rate of Return. All returns are presented on a time-weighted basis unless indicated otherwise. All returns are presented net of fees, including the consultant's fee, manager fee, program fee and transaction costs, except individual mutual fund returns, which are net of all internal fund expenses and transaction costs. If you elected to have quarterly fees deducted from an account other than the one shown on this report, the performance data provided would not reflect the deduction of these fees. Performance returns are annualized for periods greater than one year. A dollar-weighted version of the returns is available upon request. Please contact your financial advisor with this request.

If you requested that historical data (performance history or cost basis) which predates your Program Sponsor relationship be included in this report, that data is included on a "best efforts" basis as an accommodation to you, and is collected from information provided by you or your financial advisor. It may be incomplete, or inaccurate. Accordingly, Lockwood can make no representation as to the accuracy of that historical information or any calculations based on it.

The rate of return for the current manager on accounts which have undergone a manager change begins at the month end following the actual change date. Rates of return for the account in its entirety (including all previous managers) are also provided on the Account Summary.

If non-managed or outside custodied accounts are included in this composite report, information on those accounts is included only in the Portfolio Summary and Capital Gains reports.

Net Contributions/Withdrawals consist of all receipts and deliveries of securities to the account for the specified period. Accrual amount indicates income that has been applied to the total value of the account, but is not reflected on your custodial statement.

### Blended Index Details:

Account # ETF-008006

Blended Index: 2% Bloomberg 1-3 Year Government / 38% Bloomberg Aggregate Bond / 30% S&P 500 Price Only / 15% Russell Mid Cap / 10% Russell 2000 / 5% MSCI EAFE Net Taxes

Account # EPP-011695

20/84 P&G/80 GovCr: 20% S&P 500 Total Return / 80% Bloomberg Government Credit

Account # EPP-008690

80/84 P&G/20 GovCr: 80% S&P 500 Total Return / 20% Bloomberg Government Credit

### Benchmark Definitions:

## DISCLOSURES

The Bloomberg U.S. Aggregate Index represents securities that are SEC-registered, taxable, and dollar denominated. The index covers the U.S. investment grade fixed rate bond market, with index components for government and corporate securities, mortgage pass-through securities, and asset-backed securities. These major sectors are subdivided into more specific indices that are calculated and reported on a regular basis. Securities must have at least one year to final maturity regardless of call features and must have at least \$250 million par amount outstanding.

The Bloomberg Government/Credit Bond Index is an unmanaged index of Treasury securities and other securities issued or guaranteed by the U.S. government or its agencies or instrumentalities, including U.S. Agency mortgage securities and investment-grade corporate debt securities, in each case with maturities of not less than one year.

The Bloomberg Municipal Bond Index is a market-value-weighted index engineered for the long-term tax-exempt bond market. It is comprised of fixed rate bonds that have a dated date after December 31, 1990, must be at least one year from their maturity date, must have an outstanding par value of at least \$7 million and be issued as part of a transaction of at least \$75 million. Included bonds must be rated investment-grade (Baa3/BBB- or higher) by at least two of the following ratings agencies: Moody's, S&P, Fitch. If only two of the three agencies rate the security, the lower rating is used to determine index eligibility. If only one of the three agencies rates a security, the rating must be investment-grade. Renegotiated issues, taxable municipal bonds, bonds with floating rates, and derivatives, are excluded from the index.

The Bloomberg 1-3 Year Government Index represents securities that are U.S. domestic, taxable, and dollar denominated. Securities included in the index are U.S. Government securities (U.S. Treasury and Agency securities) with a maturity from 1 year.

The MSCI EAFE<sup>®</sup> (Europe, Australasia and the Far East) Index (net of taxes) is a free-float-adjusted market-capitalization weighted index that is designed to measure developed market equity performance, excluding the United States and Canada. As of May 31, 2021, the MSCI EAFE Index consisted of the following 21 developed market country indices: Australia, Austria, Belgium, Denmark, France, Germany, Hong Kong, Ireland, Israel, Italy, Japan, the Netherlands, New Zealand, Norway, Portugal, Singapore, Spain, Sweden, Switzerland and the United Kingdom. The index is not because dividends are withheld after deducting a withholding tax from dividend distributions. Since taxes are withheld from the MSCI EAFE Index (net of taxes), the performance of the MSCI EAFE Index (net of taxes) will generally be lower than that of the MSCI EAFE Index (gross of taxes).

The Russell Midcap<sup>®</sup> Index is an unmanaged index that measures the performance of the mid-cap segment of the U.S. equity market. It includes approximately 800 of the smallest companies in the Russell 1000<sup>®</sup> Index, and represents approximately 31% of the total market capitalization of the Russell 1000 Index. Frank Russell Company is the source and owner of the Russell Index data contained or reflected in this material and all trademarks and copyrights related thereto. Frank Russell Company is not responsible for the formatting or configuration of this material or for any inaccuracy in the presentation thereof.

The Russell 2000<sup>®</sup> Index is an unmanaged index that measures the performance of the small-cap segment of the U.S. equity market. It is a subset of the Russell 3000<sup>®</sup> Index, and includes approximately 2,000 of the smallest securities based on a combination of their market cap and current index membership. The Russell 2000 Index represents approximately 10% of the total market capitalization of the Russell 3000 Index. Frank Russell Company is the source and owner of the Russell Index data contained or reflected in this material and all trademarks and copyrights related thereto. Frank Russell Company is not responsible for the formatting or configuration of this material or for any inaccuracy in the presentation thereof.

The S&P 500 Price Index is not a total return index as it excludes dividends. The index includes 500 of the largest stocks, (in terms of stock market value) in the U.S.; prior to March 1957, it consisted of 90 of the largest stocks. Although the S&P 500 focuses on the large-cap segment of the market, with approximately 80% coverage of U.S. equities, it is also used as a reliable proxy for the total U.S. equity market.

## DISCLOSURES

The S&P 500 Index, an unmanaged index, includes 500 of the largest stocks (in terms of stock market value) in the United States; prior to March 1957, it consisted of 90 of the largest stocks. Although the S&P 500 focuses on the large-cap segment of the market, with approximately 80% coverage of U.S. equities, it is also used as a proxy for the total U.S. equity market.

Certain benchmark values are not available on a daily basis. As a result, benchmark returns will not be included in the Performance Summary if the daily values were not available on the date of the report.

The information on indices is presented for illustrative purposes only and is not intended to imply the potential performance of any fund or investment. Indices are not available for direct investment. Index performance assumes the reinvestment of all distributions but does not assume any transaction costs, taxes, management fees or other expenses. An investment advisory disclosure document that describes our firm's investment advisory services and those of any investment advisors managing your account is available to you at no cost. Please contact your financial advisor or Program Sponsor to request these documents.

Please update your financial advisor if your investment objectives have changed or if the personal or financial information initially provided in your application has changed.

The Global Industry Classification (GICS®) was developed by and is the exclusive property of Morgan Stanley Capital International Inc. and Standard and Poor's. GICS is a service mark of MSCI and S&P and has been licensed for use by Lookwood and its affiliates.

### Additional Definitions for Your Portfolio Summary Report

**Number of Holdings:** The number of positions held in the Equity or the Fixed Income asset class. Preferred stocks are counted as fixed income.

**Average Market Cap:** The weighted (by market value held) average market capitalization of all stocks held. Market capitalization is the price of a stock times the number of outstanding shares for that stock.

**Average Dividend Yield:** The weighted (by market value held) average dividend yield of all stocks held. Dividend yield is a financial ratio that provides an indication of how much a company has paid out in dividends (based on the most recent dividend paid) relative to its share price. The ratio is not a projection of the actual dividend payout that might be achieved.

**Earnings Growth Rate:** (Field not currently used)

**Average Yield to Worst:** The weighted (by market value held) average yield based on the lower of a bond's yield to call or yield to maturity, for all bonds held.

**Average Bond Duration:** The weighted (by market value held) average duration of all bonds held. Bond duration is the measure of price sensitivity of a fixed income security to an interest rate change of 1%. A higher duration indicates greater relative price sensitivity to changes in interest rates.

**Average Coupon:** The weighted (by market value held) average of the annual coupon interest rate of all bonds held. The coupon interest rate is a bond's stated interest rate.

## DISCLOSURES

If you have any questions or need assistance in understanding your Portfolio Summary Report, please contact your Benjamin F. Edwards & Co. financial advisor.

BFEACD | ID16-0861 EXP 07/31/2023

# Attachment 3



### **Attachment 3**

**Charles J. Fleischmann  
December 31, 2021**

#### **Additional information regarding Benjamin F. Edwards & Co. account ending in 9133**

On December 31, 2021, the Benjamin F. Edwards & Co. investment by Charles J. Fleischmann with account number ending in 9133 no longer existed. The account balance as of December 31, 2020 was \$2,308. The broker for Benjamin F. Edwards & Co., Ward Petty, indicated that the account had been liquidated over time and the remaining value in the account at the end of 2020 had been lost on or before May 31, 2021. Consequently, this asset was disclosed for the year ended December 31, 2021, despite the zero value for full transparency, in particular, to appropriately disclose the loss of value in the account.

This account will not be included in the financial disclosure report for 2022 or subsequent years as the full value was liquidated in 2021 and prior years.

# Attachment 4



**BENJAMIN F. EDWARDS & CO.**  
**INVESTMENTS & CORPORATION**  
 One North Broadway Blvd., Suite 500  
 Saint Louis, MO 63105 314-728-6800

**Backward's Name and Address**

0021484 03 AB 0408 08 X08B1A05 TR 00188

**CHARLES J FLEISCHMANN**  
**BRENDA M FLEISCHMANN JT TEN**  
 8714 RAMBLING ROSE DR  
 COOLTEWAH TN 37363-7719

11/11/11 11:11:11 11:11:11 11:11:11 11:11:11

**Your Financial Address is**

**WARD, PETTY**  
 100 BROAD STREET, SUITE 105  
 CHATTANOOGA TN 37402-2943  
 (423) 668-5411  
 ID: C90

**2021 TAX and**  
**YEAR-END STATEMENT**  
 As of 03/04/2022  
 Mailed by 03/15/2022

**Account Holder Information**  
**Account Number: EIT-005005**

**General Information**

The following information may be included in this tax statement based on the investments and activity in your account.

**Reportable Information:** IRS Forms 1099-B, 1099-DIV, 1099-INT, 1099-MISC and 1099-OLD.

**Cost Basis Services:** Realized gains and losses may be displayed on your investments.

**Non-Reportable Information:** Non-Reportable information may be provided based on the activity within your account. This additional information is provided to assist you with your tax preparation but it is not reported to the IRS.

**What's New**

**Regulatory Changes**

- **IRS Form 1099-DIV** has been redesigned to support new reporting requirements for Section 897 Ordinary Dividends (Box 2e) and Capital Gains (Box 2f). As part of the redesign, we will now summarize federal and state income tax withholding for Dividends and Distributions and Capital Gain Distributions in a separate section.

- **IRS Form 1099-MISC** has been renamed to Miscellaneous Information in accordance with the IRS change.

**Mail Dates:** You and members of your household may receive tax statements at different times based on the activity and/or holdings within your account. If final tax information is pending from an issuer or pending processing when tax statements are prepared, impacted tax statements will be held until the information is complete. Tax statement mailings are scheduled to occur in four phases this year: January 31, February 15, February 28 and March 15.

**This Tax Information May Be Revised:** You may receive a corrected tax statement. Some issuers provide new information about their securities after we prepare and mail your tax statement. If your tax information needs to be updated, we may be required by the IRS to send you a corrected 1099. Please plan your tax preparation accordingly.

**Visit [www.irs.gov](http://www.irs.gov) for IRS Forms, Publications and other resources or you may call (800) 829-1040 (Individuals) or (800) 829-4933 (Businesses).**

**Visit <http://bfg.irs.gov> for information and a reference guide to this 1099 tax statement.**

**Client Service Information**

**Contact Information**

**Benjamin (423) 668-5411**  
**Fax (423) 668-5412**

549 817 62700

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**Global Fund**  
 801 Madison Building, 1st Floor  
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**Corporation (PwC Network)**



Recipient's Name and Address  
CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number: ETF-003005

Recipient's Identification  
Number: \*\*\*-\*\*-1056

2021 TAX and  
YEAR-END STATEMENT  
As of 03/04/2022  
Mailed by 03/15/2022

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**Investor's Name and Address**

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN  
8714 RAMBLING ROSE DR  
COLEMAN TN 37363-7118

**Your Financial Advisor Is:**

WARD PETTY  
101 BROAD STREET, SUITE 105  
CHAPEL HILL NC 27602-2943  
(423) 668-5411  
ID: C90

**Table of Contents**

This tax statement may include the following IRS forms: 1099-B, 1099-DIV, 1099-INT, 1099-MISC and 1099-OID. Only the forms that pertain to the activity in this account are included in this tax statement. Please retain this document for tax preparation purposes.

1099 Form or Tax Statement Section	Page	1099 Form or Tax Statement Section	Page
Summary of Form 1099-B	1	Short-Term Covered Transactions	2
1099-INT Form: Interest Income	1	Long-Term Covered Transactions	6
1099-DIV Form: Dividends and Distributions	1	Long-Term Reinvested Transactions	7
Summary of Form 1099-DIV	1	Dividends and Distributions (Details of Form 1099-DIV)	10
1099-B Form: Proceeds From Broker and Dealer Exchange Transactions	2	Wildcat Held Mortgage Trusts and Wildcat Held Fund Investment Trusts	15



Recipient's Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number EST-000005

Recipient's Identification  
Number: \*\*\*-\*\*-1056

2021 TAX and  
YEAR-END STATEMENT  
As of 03/04/2022  
Mailed by 03/15/2022

Payer's Information: PERSHING LLC  
ONE PERSHING PLAZA  
EAST CITY, NJ 07090

Payer's Federal Identification Number B-2741729

This is taxpayer's tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

Summary of Form 1099-B

Details are reported to the IRS, later to the 1099-B section of this statement for those details.

	Amount
Gross Proceeds (Covered and Noncovered Transactions)	\$94,927.37
Cost or Other Basis (Covered Transactions Only)	\$75,733.73
Federal Tax Withheld - Proceeds	\$0.00
State Tax Withheld - Proceeds	\$0.00
Unrealized Profit or (Loss) on Open Contracts - 12/31/2021	\$0.00
Unrealized Profit or (Loss) on Open Contracts - 12/31/2021	\$0.00
Aggregate Profit or (Loss)	\$0.00
Fed. Tax Withheld - Reg. Futures and Foreign Com. Forward Contracts	\$0.00
State Tax Withheld - Reg. Futures and Foreign Com. Forward Contracts	\$0.00

2021 1099-DIV

Investment Income

OMB No. 1545-0040

Box	Amount
1	Interest Income
2	Interest on U.S. Savings Bonds & Treasury Obligations
3	Federal Income Tax Withheld
4	Investment Expenses
5	Foreign Tax Paid
6	Tax-Exempt Interest
7	Specified Private Activity Bond Interest (Excluded in Box 8)
8	Market Discount (Covered Transactions Only)
9	Market Discount (Covered Transactions Only)
10	Bond Premium (Covered Transactions Only)
11	Bond Premium on Treasury Obligations (Covered Transactions Only)
12	Bond Premium on Tax-Exempt Bond (Covered Transactions Only)
13	Tax-Exempt and Tax Credit Bond (Covered Transactions Only)
14	Tax-Exempt and Tax Credit Bond (Covered Transactions Only)
15	State Tax Withheld
16	FATCA Filing Requirement

2021 1099-DIV

Dividends and Distributions

OMB No. 1545-0040

Box	Amount
1	Total Ordinary Dividends
2a	Qualified Dividends (Excluded in Box 1)
2b	Total Capital Gain Distributions
2c	Unrecaptured Section 1250 Gain (Included in Box 2b)
2d	Section 1202 Gain (Excluded in Box 2c)
2e	Collectibles (20%) Gain (Excluded in Box 2d)
2f	Section 857 Ordinary Dividends (Excluded in Box 1)
2g	Section 857 Capital Gain (Included in Box 2f)
3	Nondividend Distributions
4	Federal Income Tax Withheld
5	Section 1291 Dividends (Excluded in Box 1)
6	Investment Expenses
7	Foreign Tax Paid
8	Cash Liquidation Distributions
9	Noncash Liquidation Distributions
10	Exempt Interest Dividends
11	Specified Private Activity Bond Interest Dividends (Excluded in Box 1)
12	State Tax Withheld
13	FATCA Filing Requirement

Summary of Form 1099-OID

Details are reported to the IRS, later to the 1099-OID section of this statement for those details.

Box	Amount
1	Original Issue Discount (Non-U.S. Treasury Obligations)
2	Other Periodic Interest
3	Market Discount (Covered Transactions Only)
4	Acquisition Premium (Covered Transactions Only)
5	Original Issue Discount on U.S. Treasury Obligations
6	Investment Expenses
7	Bond Premium (Covered Transactions Only)
8	Tax-Exempt OID (Covered Transactions Only)
9	Tax-Exempt OID Specified Private Activity Bonds (Covered Transactions Only)
10	Federal Income Tax Withheld
11	State Tax Withheld
12	FATCA Filing Requirement



Recipient's Name and Address  
CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number: ETF-005005  
Recipient's Identification  
Number: \*\*\*-3256

2021 TAX and  
YEAR-END STATEMENT  
As of 03/04/2022  
Mailed by 03/15/2022

2021 Form 1099-B

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS  
(Report details on Form 9949 or Schedule D)

OMB No. 1545-0715

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

Disposition Transaction	Quantity (per lot)	Date Acquired (per lot)	Date sold or disposed (per lot)	Proceeds (per lot)	Cost or other basis (per lot)	Disputed Disposition (per lot) (see instructions)	Capital gain or loss (per lot)
----------------------------	-----------------------	-------------------------------	---------------------------------------	-----------------------	----------------------------------	--	--------------------------------------

Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 9949, Part I, with Box A checked.

Covered (Box 12)

Description (Box 1a) INVECO ACTIVELY MANAGED EXCHANGE-TRADED COMMODITY FUND OPTIMAL							
SELL	18	01/21/2021	04/22/2021	325.30	286.68		38.62
SELL	20	07/21/2021	07/22/2021	395.88	318.53		77.35
SELL	23	01/21/2021	10/25/2021	518.71	366.31		152.40
SECURITY TOTAL				1,239.89	971.52		268.37

Description (Box 1a) ISHARES TR IPOXX USD INT GRADE CORP BD ETF							
SELL	36	04/01/2020	01/21/2021	4,890.72	4,386.61		504.11
SELL	3	10/22/2020	01/21/2021	407.56	402.80		4.76
SALE DATE TOTAL				5,298.28	4,789.41		508.87

Description (Box 1a) ISHARES TR INVS ETF							
SELL	15	07/23/2020	07/22/2021	1,627.67	1,657.85		(30.18)
SELL	1	10/22/2020	07/22/2021	108.51	110.00		(1.49)
SELL	19	01/21/2021	07/22/2021	2,061.71	2,090.22		(28.51)
SELL	3	04/22/2021	07/22/2021	323.53	324.51		(0.98)
SALE DATE TOTAL				4,123.42	4,184.58		(61.16)

Description (Box 1a) ISHARES TR ID+ VR IN VT GRADE CORPORATE BD ETF							
SELL	48	04/22/2021	07/22/2021	3,430.57	3,261.08		169.49

Description (Box 1a) ISHARES INC CORE MSCI EMERGING Mkts ETF							
SELL	5	10/22/2020	07/21/2021	335.83	275.61		60.22
SELL	69	10/22/2020	07/22/2021	4,483.53	3,803.85		680.08
SELL	56	04/22/2021	07/22/2021	3,638.81	3,666.39		(27.58)
SALE DATE TOTAL				8,122.34	7,449.84		652.50

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Recipient's Name and Address  
CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number: EIT-005005  
Recipient's Identification  
Number: \*\*\*-\*\*-1256

2021 TAX and  
YEAR-END STATEMENT  
As of 03/04/2022  
Mailed by 03/15/2022

2021 Form 1099-B

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS  
(Report details on Form 9949 or Schedule D)

OMB No. 1545-0715 (continued)

Description Transaction	Quantity Gross (b)	Date Gross (b)	Date Sold or Disposed Gross (b)	Proceeds Gross (b)	Cost or Other Basis Gross (b)	Deductible Amount (b) Original Purchase Price-Net Sale Loss (b)	Capital Gain or Loss
----------------------------	-----------------------	-------------------	---------------------------------------	-----------------------	----------------------------------	---	-------------------------

Short-Term Transactions For Which Basis Is Reported to the IRS - Report on Form 9949, Part I, with Box A checked.

Continued (Box 2) (continued)

Description (Box 1a)

SECURITY TOTAL

8,498.17

7,745.45

712.72

QJSP: 4634503 (continued)

Description (Box 1a) ISSUES INC NSCI ENE BEING ACTS EX CHINA EIT

SELL

135

07/22/2021

10/25/2021

8,337.61

8,244.44

93.17

QJSP: 4634574

Description (Box 1a) ISSUES TR BONDS DE C 2023 TERM CORPORAT E EIT

SELL

46

04/01/2020

01/21/2021

1,204.54

1,140.14

64.40

QJSP: 4634493

SELL

8

07/23/2020

01/21/2021

209.83

209.98

(0.15)

SELL

3

10/22/2020

01/21/2021

78.69

78.71

(0.02)

SALE DATE TOTAL

57

VARIOUS

01/21/2021

1,495.06

1,428.83

66.23

Description (Box 1a) ISSUES BONDS DEC 2 023 TERM TREASURY EIT

SELL

44

04/01/2020

01/21/2021

1,139.69

1,172.19

(32.50)

QJSP: 4634525

SELL

9

07/23/2020

01/21/2021

233.11

241.09

(7.98)

SELL

3

10/22/2020

01/21/2021

77.71

78.93

(1.22)

SALE DATE TOTAL

56

VARIOUS

01/21/2021

1,450.51

1,492.21

(41.70)

Description (Box 1a) ISSUES BONDS DEC 2 023 TERM TREASURY EIT

SELL

44

04/01/2020

01/21/2021

1,145.76

1,168.64

(22.88)

QJSP: 4634533

SELL

9

07/23/2020

01/21/2021

234.37

240.38

(6.01)

SELL

3

10/22/2020

01/21/2021

78.12

79.02

(0.90)

SALE DATE TOTAL

56

VARIOUS

01/21/2021

1,458.27

1,488.04

(29.77)

Description (Box 1a) ISSUES BONDS DEC 2 023 TERM TREASURY EIT

SELL

44

04/01/2020

01/21/2021

1,144.66

1,162.48

(17.82)

QJSP: 4634541

SELL

10

07/23/2020

01/21/2021

260.15

264.89

(4.74)

SELL

3

10/22/2020

01/21/2021

78.04

78.69

(0.65)

See 9949-0010

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**2021 TAX and  
YEAR-END STATEMENT**  
As of 03/04/2022  
Mailed by 03/15/2022

**OMB No. 1545-0715 (continued)**

**Account Number 111-010701**

**Recipient's Identification Number:** 444-28-7056

**2021 TAX and  
YEAR-END STATEMENT  
As of 03/04/2022  
Modified by 03/15/2022**

**PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS**  
(Report details on Form 9949 or Schedule D)

OMIB No. 1548-0718 (continued)

[illegible]

**Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 9949, Part I, with Box A checked.**

**Covered (Box 12) (continued)**

Description (Over bid) SELECT SECTOR SPOR T R MATHS					CUSIP: 883697000
SELL	1	10/22/2020	04/22/2021	81.97	65.13
					16.84

Description (Check last SELECT SECTOR SPORTR CONSUMER INSCDET) NAME	CUSTOMER: 88697407
SEL 21 04/01/2020 01/21/2021 3,590.09 1,984.08	1,606.01

Description (Click tab) SELECT SECTOR SPOR T R FINANCIAL	CUSIP: 883697K05	
SELL 7	01/21/2021	244.16
SELL 8	01/21/2021	324.87
SECURITY TOTAL		569.03
		214.50
		245.14
		459.64
		29.66
		79.73
		109.39

Description (Show tab) SELECT SECTION SPORT RUNDL						OLSP, 88897704
SELL	2	10/22/2020	04/22/2021	202.06	160.69	41.39
SELL	1	10/22/2020	07/22/2021	103.25	80.34	22.91
SECURITY TOTAL				395.31	241.02	64.29

Description (See tab VANGUARD INDEX FDS REAL ESTATE INDEX FID ETF)	QURP: 92908553
SELL 7 07/23/2020 04/22/2021 685.53 546.73 138.80	
SELL 3 10/22/2020 04/22/2021 293.80 237.88 55.92	
SELL 4 01/21/2021 04/22/2021 391.73 339.41 52.32	
SALE DATE TOTAL 14 VARIOUS 04/22/2021 1,371.06 1,124.02 247.04	

Short-Term Covered Total	\$76,129.94	\$62,891.89	\$13,278.35	-
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Recipient's Name and Address  
CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number: EIT-005005  
Recipient's Identification Number: \*\*\*-\*\*-1055

2021 TAX and  
YEAR-END STATEMENT  
As of 03/04/2022  
Valid by 03/15/2022

2021 Form 1099-B

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS  
(Report details on Form 9949 or Schedule D)

OMB No. 1545-0715 (continued)

Disposition Transaction	Quantity (Box 1)	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Capital Gains or Losses (Box 1f)	Capital Gains or Losses (Box 1g)
Long-Term Transactions for Which Basis is Reported to the IRS - Report on Form 9949, Part II, with Box D checked.							
Covered (Box 12)							

Description (Box 1a): ISSHARES GOLD TR ISSHARES	CLSPN: 464285105						
SELL	67	04/19/2018	01/21/2021	1,190.26	899.03	331.23	331.23
SELL	31	07/26/2018	01/21/2021	550.72	363.54	187.18	187.18
SELL	20	04/18/2019	01/21/2021	355.29	242.74	112.55	112.55
SMALL DATE TOTAL	118	VARIOUS	01/21/2021	2,096.27	1,445.31	630.96	630.96

Description (Box 1a): ISSHARES GOLD TR ISSHARES NEW	CLSPN: 464285204						
CASH IN LIEU	500	04/18/2019	05/24/2021	17.94	12.13	5.81	5.81

Description (Box 1a): SPDR SER TR S&P 600 SMALL CAP GROWTH ETF	CLSPN: 784644201						
SELL	12	04/01/2020	04/22/2021	1,045.16	517.82	527.34	527.34

Description (Box 1a): SPDR SER TR S&P 600 SMALL CAP VALUE ETF	CLSPN: 784644300						
SELL	4	04/01/2020	10/25/2021	344.44	152.82	191.62	191.62

Description (Box 1a): SPDR SER TR S&P 500 GROWTH ETF	CLSPN: 784644409						
SELL	27	04/01/2020	04/22/2021	1,628.76	928.56	700.20	700.20
SELL	10	04/01/2020	07/22/2021	649.97	343.91	306.06	306.06

SECURITY TOTAL				2,278.73	1,272.47	1,006.26	1,006.26
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Description (Box 1a): SPDR SER TR S&P 400 MID CAP GROWTH ETF	CLSPN: 784644821						
SELL	33	04/01/2020	04/22/2021	2,400.88	1,339.47	1,261.41	1,261.41

Description (Box 1a): SPDR SER TR S&P 400 MID CAP VALUE ETF	CLSPN: 784644839						
SELL	45	04/01/2020	04/22/2021	3,057.32	1,497.15	1,560.17	1,560.17

Description (Box 1a): VANGUARD INDEX FDS R E&I ESTATE INDEX FID ETF	CLSPN: 927908553						
SELL	62	10/17/2019	04/22/2021	4,071.81	5,711.51	360.30	360.30
SELL	3	01/23/2020	04/22/2021	293.80	281.87	11.93	11.93
SELL	10	04/01/2020	04/22/2021	979.32	631.59	347.73	347.73

5442 (EIT-6270)

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Member SIPC

## 2021 TAX and

**YEAR-END STATEMENT**  
**As of 03/04/2022**  
**Mailed by 03/15/2022**

**OMB No. 1545-0715 (continued)**



Recipient's Name and Address  
CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number EIT-006005

Recipient's Identification  
Number \*\*\*-\*\*-1056

2021 TAX and  
YEAR-END STATEMENT  
As of 03/04/2022  
Mailed by 03/19/2022

2021 Form 1099-B  
PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS  
(Report details on Form 8949 or Schedule D)  
OMB No. 1545-0715 (continued)

Disposition Transaction	Quantity (Col 1)	Date Acquired (Col 2)	Date Sold or Disposed (Col 3)	Proceeds (Col 4)	Cost or Other Basis (Col 5)	Capital Gains or Losses (Col 6)	Capital Gains or Losses (Col 7)
Total				\$94,977.37	\$75,761.04		\$19,166.33

TAX LOT DEFAULT DISPOSITION METHOD  
Default Method for all Other Securities: FIRST IN FIRST OUT

Default Method for Mutual Funds: FIRST IN FIRST OUT

Default Method for Stocks in a Dividend Reinvestment Plan: FIRST IN FIRST OUT

Unless otherwise noted by an asterisk, all dispositions reported on this 1099-B were in accordance to the default disposition methods assigned to this account as of 12/31/2021.

IRS Form 1099-B—Proceeds from Broker and Barter Exchange Transactions

The amounts in this section of your Tax Information Statement reflect proceeds from securities transactions such as sales, redemptions, tender offers, return of principal distributions, covered options, the option premium portion of reverse convertibles and bond maturities. Short-term and long-term transactions are segregated in your 1099-B form in a format comparable to IRS Form 8949 for dispositions of covered and noncovered securities. Since your financial organization subscribes to our premium Tax and Year-End Statement, the date of acquisition, cost or other basis, type of gain or loss (short-term or long-term), whether any loss is disallowed due to a wash sale, and market discount for both covered and noncovered securities transactions will be displayed when available. Such detail for noncovered transactions is not reported to the IRS.

Box 2—Type of Gain or Loss. The section headings within the 1099-B indicate the type of gain or loss for the transactions, short-term or long-term. An asterisk will denote when your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the non-contingent bond method generally is treated as ordinary interest income rather than as a capital gain. See the instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security.

Box 12—Covered or Box 5—Noncovered Security. The section headings within the 1099-B indicate whether your security transaction is or is not a covered security under the IRS cost basis reporting program. For tax return reporting purposes, you may need to make adjustments to your cost basis information on IRS Form 8949 and Schedule D of IRS Form 1040. You may also need to take into account tax reporting rules that a reporting financial organization is not required to use when preparing your Form 1099-B, such as when reporting wash sales. As a result, you must take into account all applicable tax return reporting rules and be able to verify, from your own records, all cost basis information that is reported on your tax return. The IRS requires you to maintain all such records in case you are asked to produce them. For gifted shares where the original cost is greater than the fair market value, if you elect to include these shares in the average calculation, you must instruct your investment professional in writing to move these shares from fair market value to the average calculation.

Box 1a—Description and Quantity. Shows a brief description of the item or service for which the proceeds are being reported, as well as the number of shares included in the sale or exchange for the lot reported. If fractional shares are part of the disposition, those shares will be displayed to three decimal places.

CUSIP. Broker transactions may show the Committee on Uniform Security Identification Procedures (CUSIP) number of the item reported.

Box 3—Qualified Opportunity Fund (QOF). This indicator will be displayed next to the CUSIP if the proceeds are from the disposition of a QOF.

Disposition Transaction. This column will denote the type of transaction; for example, SELL.  
Tax Lot Default Disposition Method. The method used to select which lot will be disposed. The default method assigned to this account as of December 31, 2021, will display below the 1099-B detail section.

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Internal Revenue Service

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subsidiary of The Bank of New York Mellon  
Corporation (BNY Mellon)  
Reporting LLC member FINRA, NYSE, SIF

00235593

Recipient's Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number EIT-009005

Recipient's Identification  
Number: 77-1056

2021 TAX and  
YEAR-END STATEMENT

As of 03/04/2022  
Mailed by 03/15/2022

**IRS Form 1099-B—Proceeds from Broker and Barter Exchange Transactions (continued)**

**Box 1b—Date Acquired.** This box represents the date you acquired the security or, for short sales, the date you opened the short sale. You may see the word **VARIABLES** displayed in this column if the disposition transaction includes multiple lots with various acquisition dates.

**Box 1c—Date Sold or Disposed.** Shows the trade date of the sale or exchange. For short sales, the date shown is the date you closed the short sale.

**Box 1d—Proceeds.** The proceeds amount from transactions involving stocks, bonds, and other debt obligations are reported in Box 1d. These amounts do not reflect net profits and are net of transaction costs. The proceeds amount may also be increased by an option premium received or decreased by an option premium paid. Report the proceeds from each transaction separately on IRS Form 8949 (Sales and Other Dispositions of Capital Assets) and IRS Form 1040, Schedule D (Capital Gains and Losses). This box does not include proceeds from regulated futures or foreign currency forward contracts.

**Box 1e—Cost or Other Basis.** This box shows the original cost, or adjusted cost basis, due to a corporate action, gifted or inherited cost basis. The IRS provides a detailed description of cost or other basis reporting in the instructions for Form 1099-B available at [irs.gov](http://irs.gov).

**Basis on Bonds.** Paying is providing you with two different cost figures (when available) on debt instrument investments, the original cost of the bonds (which may have been provided by you or a third party) and a projection of where the adjusted current cost could be if the bonds had been amortized or accreted over the time you held the bonds. The adjusted cost for noncovered bonds was calculated without consideration of your elections and may not be the same method you chose when deciding to amortize or accrete. You or your tax professional should verify the amounts that have been previously calculated to adjust the cost basis of the bond and reported throughout the life of the bond starting with the original purchase price.

**Adjustments.** The adjustment column may display one or more of codes D, O or W.

**Box 1f—D = Accrued Market Discount.** An adjustment code (D) will be displayed next to an amount for accrued market discount. A market discount condition exists when the purchase cost of a bond is below the adjusted issue price of an original issue discount bond (OID bond) or below the redemption value of a non-OID bond. For details on market discount, see Schedule D (Form 1040) Instructions, instructions for Form 8949 and Pub. 550.

**O = Option Premium (Not Reportable to the IRS).** An adjustment code (O) will be displayed next to the amount for an option premium within the Adjustment column. When stock is sold based upon the assignment of either a put or a call option, the proceeds of that sale are adjusted by the price of the option or the option premium.

**Box 1g—W = Wash Sale Loss Disallowed.** An adjustment code (W) will be displayed next to an amount for a disallowed wash sale loss within the Adjustment column. This loss is being reported as disallowed because the sale of the covered security has been adjusted under the broker wash sale rule. This occurs when you re-purchase the identical security, as determined by CUSIP number, in the same account within the 30-day period preceding or following the date of the original loss. The wash sale loss is displayed within Box 1g as a positive amount as required by the IRS. For details on wash sales, see Schedule D (Form 1040) Instructions, instructions for Form 8949 and Pub. 550.

**Realized Gain or (Loss).** The realized gain or loss for the transaction may be displayed. It is not reported to the IRS.

**Sale Date Totals.** If you have multiple lots with the same date sold or disposed of, you may see a line item with **SALE DATE TOTAL** noted in the Disposition Transaction column. The totals provided in this line item are an aggregate of the lots listed above the total line when the security and sale or disposed dates are the same. For these totals, the word **VARIABLES** will be displayed in the Date of Acquisition column, since the total includes multiple lots with different acquisition dates. These total amounts are included to assist you with the completion of IRS Form(s) 8949.

**Income Tax Withholdings.** If federal or state income taxes were withheld from your proceeds amounts, they will be reported and displayed in this section.

**Disposition Transaction.** This column is for reference purposes only. The type of transaction is denoted, for example, **SELL**.

**Quantity.** This quantity is for reference purposes only and is the total number of shares that may have been split and reported in earlier 1099-B sections.

**Proceeds.** This amount is for reference purposes only; it represents the total proceeds for a sale or exchange. If a sale or exchange included multiple lots, the proceeds amounts are reported at the lot level in the appropriate 1099-B section.

**Date Sold or Disposed.** This box shows the trade date of the sale or exchange.

**Box 4—Federal Income Tax Withheld.** Federal income tax withheld is 24% of gross proceeds. See the Additional Information section of these instructions.

**Box 14—State.** Displays the two-letter postal abbreviation of the state(s) for which state income taxes have been withheld.

5416 (EIT 02/01)



**2021 TAX and  
YEAR-END STATEMENT**  
**As of 03/04/2022**  
**Mailed by 03/15/2022**

**DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)**

Description	Date Paid	Total Ordinary Dividends (Dec 16)	Total Capital Gains (Dec 16)	Section 807 Ordinary Dividends (Dec 16)	Reinstated Dividends (Dec 16)	Section 807 Dividends (Dec 16)	Investment Expenses (Dec 16)	Foreign Tax Paid (Dec 17)
INVESTED ACTIVELY MANAGED	12/10/2021	1,234.31						
EXCHANGE-TRADED COMMODITY FID OPTIMUM	12/31/2021	402.44						
DVFS COMMODITY STRATEGY NO KI ETF		1,636.75						
CUSIP: 46090RF00								
ISHARES TR MDS ETF	02/05/2021						6.70	
CUSIP: 464128B588	03/05/2021	6.88						
	04/08/2021	6.56						
	05/07/2021	6.09						
	06/07/2021	4.87						
	07/08/2021	3.68						
		28.08					6.70	

Recipient's Name and Address  
**CHARLES J FLEISCHMANN**  
**BRENDA M FLEISCHMANN JT TEN**

Account Number: **ETF-009005**  
 Recipient's Identification Number: **\*\*\*-\*\*-1056**

**2021 TAX and  
 YEAR-END STATEMENT**  
 As of 03/04/2022  
 Made by 03/15/2022

**DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV) (continued)**

Description	Date	Total Ordinary Dividends (Col 1)	Capital Gains Dividends (Col 2)	Total Capital Gains Dividends (Col 3)	Section 67 Ordinary Dividends (Col 4)	Section 67 Capital Gains Dividends (Col 5)	Section 67 Other Dividends (Col 6)	Section 67 Other Dividends (Col 7)	Foreign Tax Paid (Col 8)
<b>ISHARES INC CORE</b>									
MSCI EMERGING Mkts	06/16/2021	62.73	32.12						3.91
ETF		27.06							
<b>FOREIGN % 76.8999</b>									
CUSIP: 466346GB3 FOREIGN CORP. OTHER									
<b>ISHARES TR BONDS</b>									
DEC 2024 TERM CORPORATE ETF	08/06/2021	14.70							
	09/08/2021	14.24							
	10/07/2021	14.96							
	11/05/2021	14.81							
	12/07/2021	14.42							
	12/22/2021	15.12							
		88.25							
<b>ISHARES TR MSCI USD</b>									
RINCOMAETF NEW	06/16/2021	114.21	114.21						0.37
	12/17/2021	180.98	180.98						0.59
FOREIGN % 94.96500									
CUSIP: 466346GB3 FOREIGN CORP. OTHER		295.19	295.19						0.96
<b>ISHARES BONDS</b>									
DEC 2022 TERM TREASURY ETF	02/05/2021	4.69							
	03/05/2021	0.36							
	04/08/2021	0.36							
	05/07/2021	0.21							
	06/07/2021	0.16							
	07/08/2021	0.16							
	12/07/2021	0.59							
	12/22/2021	1.40							
		7.95							



**2021 TAX and  
YEAR-END STATEMENT**  
**As of 03/04/2022**  
**Mailed by 03/15/2022**

(continued)

**Seq ID: 62701**

Recipient's Name and Address  
CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number: ETF-005005  
Recipient's Identification  
Number: \*\*\*-\*\*-1056

2021 TAX and  
YEAR-END STATEMENT  
As of 03/04/2022  
Mailed by 03/15/2022

DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)

(continued)

Description	Date Paid	Total Ordinary Dividends (Box 1b)	Total Capital Gains Dividends (Box 2a)	Total Section 179 Deductions (Box 2b)	Total Qualified Dividends (Box 3)	Total Section 179 Deductions (Box 3a)	Total Excess Capital Gains Dividends (Box 4)	Total Foreign Source Income (Box 5)
SPDR SER TR S&P 500 VALUE ETF CUSIP: 78464A508	03/25/2021 06/24/2021 09/23/2021 12/23/2021	112.01 99.16 90.52 125.31	100.57 89.03 81.27 112.51					
		427.00	383.38				0.65	
SPDR SER TR S&P 400 MID CAP GROWTH ETF CUSIP: 78464A821	03/25/2021 06/24/2021 09/23/2021	7.42 5.60 26.32	5.67 4.28 20.11				0.49 2.30	
		39.34	30.06				3.44	
SPDR SER TR S&P 400 MID CAP VALUE ETF CUSIP: 78464A889	03/25/2021 06/24/2021 09/23/2021 12/23/2021	46.00 34.94 33.64 87.07	33.61 25.53 24.58 63.62					
		201.65	147.34					
SPDR SER TR S&P HOMEBUILDERS ETF CUSIP: 78464A888	03/25/2021 06/24/2021 09/23/2021 12/23/2021	4.22 3.15 2.98 4.32	4.22 3.15 2.98 4.32					
		14.67	14.67					
SELECT SECTOR SPDR TR MINTLS CUSIP: 88469T100	03/25/2021 06/24/2021 09/23/2021 12/23/2021	12.77 13.25 13.44 16.78	12.77 13.25 13.44 16.78					
		56.24	56.24					

See page 12 of 19

Page 13 of 19

Go paperless  
At: ABOUT 1000000000



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**2021 TAX and  
YEAR-END STATEMENT**  
As of 03/04/2022  
Made by 03/16/2022

**(continued)**

IRS Form 1099-DIV—Dividends and Distributions

**Box 1b—Qualified Dividends.** This shows the portion of the amount in Box 1a that may be eligible for reduced capital gains rates. See the Form 1040 instructions for how to determine this amount. Report the eligible amount as a dividend on IRS Form 1040.

**Page 14 of 18**

000000000

Recipient's Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number: 00000000

Recipient's Identification  
Number: 000000000

2021 TAX and  
YEAR-END STATEMENT

As of 03/04/2022  
Mailed by 03/15/2022

IRS Form 1099-DIV—Dividends and Distributions (continued)

Box 2a—Total Capital Gain Distributions. This shows total capital gain distributions (long-term) from a regulated investment company (RIC) or REIT. Report the amounts shown in Box 2a on Schedule D (Form 1040). But, if no amount is shown in Boxes 2a, 2b, 2c, 2d, and 2f and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in Box 2a on IRS Form 1040 rather than Schedule D. See IRS Form 1040 instructions.

Box 2b—Unrecaptured Section 1250 Gain. This shows the portion of the amount in Box 2a that is an Unrecaptured Section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the instructions for Schedule D (IRS Form 1040).

Box 2c—Section 1202 Gain. This shows the portion of the amount in Box 2a that is a Section 1202 gain from certain small business stock that may be subject to 50% exclusion. See the Schedule D (IRS Form 1040) instructions.

Box 2d—Collectibles (28%) Gain. This shows the 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the instructions for Schedule D (IRS Form 1040).

Box 2e—Section 897 Ordinary Dividends. Shows the portion of the amount in box 2a that is section 897 gain attributable to disposition of U.S. real property interests (USRPI).

Box 2f—Section 897 Capital Gain. This shows the portion of the amount in box 2a that is section 897 gain attributable to disposition of USRPI.

Notes: Boxes 2a and 2f apply only to foreign persons and entities whose income maintains its character when passed through or distributed to a direct or indirect foreign owners or beneficiaries. It is generally treated as effectively connected to a trade or business within the United States. See the instructions for your tax return.

Box 3—Nondividend Distributions. This shows the part of the distribution that is nontaxable because it is a return of your cost (or other basis). You must reduce your cost (or other basis) by this amount for figuring gain or loss when you sell your investment. But if you have recovered all your cost (or other basis), report future nontaxable distributions as capital gains, even though this form shows them as nontaxable. See IRS Publication 550, Investment Income and Expenses (Including Capital and Losses).

Box 5—Section 199A Dividends. This shows the portion of the amount in Box 3 that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 990 and Form 990-A.

Box 6—Investment Expenses. Your share of a UTI's or a WHIFI's expenses are reported in Box 6. These expenses are included in Box 1a.

Box 7—Foreign Tax Paid. This shows the foreign tax you may be able to claim as a deduction or a credit on IRS Form 1040. See the IRS Form 1040 instructions and the Foreign Tax Paid section of these instructions.

ADDITIONAL WRITTEN STATEMENT - WIDELY HELD MORTGAGE TRUSTS (WHMTs) AND WIDELY HELD FIXED INVESTMENT TRUSTS (WHFITs)

CLASS	PC	Payable Reference Date	Quantity	Market Price	Cost/Basis Price	Gain/Loss	Investment Expense	Market Discount Factor	Remaining Income Adjustment	Income Adjustment	Adjusted Foreign Capital Gain
SHARES SOLD TR RS											
EFF 05/24/21 1040 /											
CASH INCOME 2021											
444285RDS											
01/31/2021			776								.00021
01/31/2021											
02/28/2021			776								.00020
02/28/2021											
03/31/2021			776								.00021
03/31/2021											

See 1099-DIV (2021)



Backpack's Name and Address  
CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number: ETF-005905  
Backpack's Identification  
Number: \*\*\*-1055

2021 TAX and  
YEAR-END STATEMENT  
As of 03/04/2022  
Mailed by 03/15/2022

**ADDITIONAL WRITTEN STATEMENT - WIDELY HELD MORTGAGE TRUSTS (WHMTs) AND WIDELY HELD FIXED INVESTMENT TRUSTS (WHFITS)** (continued)

CUSIP	PC	Period Beginning Date	Quantity	Market Purchase	Period Ending Date	Process of Sale	Cost/Purchase Price	Gross Interest	Interest Expense	Market Discount Premium	Domestic Interest Adjustment	Income Adjustment	Adjusted Basis	Original Cost Basis
04/30/2021		04/30/2021	863											
04/30/2021		04/30/2021						2.99					.00020	

**Summary Totals**

(PC = Purchase Condition; X - Blended, not lot specific; P - Premium; A - Acquisition Premium; N - Par, no adjustment; G - Dominant market discount; D - Market Discount. Applicable only to a distribution record.)

ISHARES GOLD TR														
ISHARES NEW														
CASH INCOME 2021														
464285304		07/31/2021	5										.00021	
		07/31/2021												
		08/31/2021	5										.00021	
		08/31/2021												
		09/30/2021	5										.00021	
		09/30/2021												
		10/31/2021	19										.00021	
		10/31/2021												
		11/30/2021	19										.00021	
		11/30/2021												
		12/31/2021	19										.00021	
		12/31/2021												

**Summary Totals**

(PC = Purchase Condition; X - Blended, not lot specific; P - Premium; A - Acquisition Premium; N - Par, no adjustment; G - Dominant market discount; D - Market Discount. Applicable only to a distribution record.)

**Additional Written Statement—Widely Held Fixed Investment Trusts (WHFITS) and Widely Held Mortgage Trusts (WHMTs)**

Reporting requirements for widely held fixed investment trusts (WHFITS) require us to report certain specific information regarding items of gross income and expenses to trust interest holders for the calendar year on IRS Form 1099. Unit investment trusts (UITs), royalty trusts, mortgage-backed securities and commodity trusts are all considered WHFITS. In addition to the information reported on IRS Form 1099, we are also required to furnish trust interest holders with an additional written statement with certain detailed information by March 15, 2022. Income and interest declared on these investments in October, November or December 2021 is considered received on December 31, 2021, even if the income and interest was not actually paid until January or February 2022. An explanation of items included on the Additional Written Statement is provided below.

Participating Principal Paid or Proceeds of Sale. This represents the principal distributed to record date holders or the proceeds of a sale net of accrued interest. This amount includes redemption and sales proceeds and redemption and sales asset proceeds. It also includes principal payments that completely retire a debt instrument (other than a final scheduled principal payment) and pro rata partial principal prepayments. The amount should be reported on IRS Form 1040, Schedule D.

See 601-627-0000



Recipient's Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number EIT-006005

Recipient's Identification  
Number: 000-000000000

2021 TAX and  
YEAR-END STATEMENT

As of 03/04/2022  
Mailed by 03/15/2022

**Additional Written Statements—Widely Held Fixed Investment Funds (VHFFTs) and Widely Held Mortgage Trusts (VHMTs) (continued):**

**Cost/Purchase Price.** This represents the cost of a purchase (the amount paid for the units, including brokers' commissions for the fair market value of such units on the date they were distributed) net of accrued interest.

**Gross Interest.** This represents the amount of interest distributed to you or received as accrued interest on sales.

**Investment Expenses.** This amount represents your share of investment expenses paid by the trust.

**Market Discount Fraction.** This is the ratio used to compute your market discount income or premium amortization for the year. Amortization of bond premiums is deductible on IRS Form 1040, Schedule A. If you claim a deduction for amortization of premiums for bonds acquired after October 22, 1986, but before January 1, 1988, the deduction is treated as an interest expense and is subject to the investment interest limitations. Use IRS Form 4952 (Investment Interest Expense Deduction) to compute the allowable deduction. For taxable bonds acquired after 1987, you can elect to amortize the bond premium over the life of the bond. See IRS Publication 550 for more information.

**Income Adjustment.** You must increase or decrease your taxable income by the amount of this premium or discount on purchases for your account.

**Adjusted Basis Percentage.** This represents the ratio of the principal distribution over the principal balance at the start of the year. Use this ratio to determine the portion of your adjusted basis that represents return of principal. It should be used to compute gain or loss on Schedule D of IRS Form 1040.

**Original Cost Basis.** This represents the amount that you originally paid for the units, including brokers' commissions or the fair market value of such units on the date they were distributed. The amount should be used to compute gain or loss on IRS Form 1040, Schedule D.

**Cost Basis Factor.** Use the Cost Basis Allocation Factor provided to allocate a portion of your cost basis in the VHFFTs (what you paid for the VHFFTs, less any reinvested dividend or capital gains distributions) to each sale or disposition to determine any attributable and reportable sales proceeds and realized gains or losses on Schedule D of IRS Form 1040.

Please refer to *Pershing's Tax Guide* at [bnyam/taxresources](http://bnyam/taxresources) for additional information regarding VHFFTs and VHMTs and consult your tax professional regarding the proper reporting of income and expenses for VHFFTs and VHMTs.

**Tax Information Statement Instructions**

The Tax Information Statement provides a detailed summary of your account transactions during 2021. It includes information related to transactions we are required to report to the IRS, as well as information that we do not report. The instructions are provided to help you prepare your tax returns. For a more detailed explanation of your Tax Information Statement and to view the Tax Guide, please visit [bnyam/taxresources](http://bnyam/taxresources). If your account was transferred to our firm during 2021, your Tax Information Statement only includes your activity during the time you conducted business with our firm. Your former firm should provide you with IRS Form 1099 reporting for prior activity. These instructions have been tailored for use by taxpayers that are U.S. individuals who are investors for tax purposes.

**Additional Information:**

**Recipient's Identification Number.** For your protection, this form shows only the last four digits of your Social Security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN) or employer identification number (EIN). However, Pershing LLC will report your complete identification number to the IRS and, where applicable, to state or local governments.

**Account Number.** A unique number the payer assigned to distinguish your account.

**FATCA Filing Requirement.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the instructions to Form 8938. For 2021, this box has been intentionally left blank.

**Electronic Delivery.** The IRS allows for the electronic delivery (eDelivery) of 1099 forms, and Pershing offers electronic delivery of this Tax Information Statement. If you would like to receive eDelivery, speak to your advisor or financial organization for more information.



**Recipient's Name and Address**  
CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

**Account Number** ETR-905005  
**Recipient's Identification Number** 1025

**2021 TAX and  
YEAR-END STATEMENT**  
As of 03/04/2022  
Mailed by 03/15/2022

**Tax Information Statement Instructions (continued)**

**Nonresidence Recipients.** If your truncated Social Security number or Employer Identification Number is shown on your Tax Information Statement, and the statement includes amounts belonging to another person, you are considered a nonresidence recipient. Generally, you must file IRS Form 1099 for each of the other owners, showing the income allocable to each. File the applicable IRS Form 1099, along with IRS Form 1096 (Annual Summary and Transmittal of U.S. Information Returns), with the IRS center in your area. List yourself as the payer on IRS Form 1099 and as the filer on IRS Form 1096. List the other owner(s) as the recipient(s) on IRS Form 1099. You must provide a copy of each IRS Form 1099 you file to the other owner(s). Spouses are not required to file a nonresidence return to show amounts owned by their spouse.

**Payers.** The payer for all transactions on your Tax Information Statement is Pershing LLC (Taxpayer Identification Number 13-2741729). This name and Taxpayer Identification Number should be listed wherever the payer's name is requested on an IRS form with respect to amounts reported on your Tax Information Statement.

**Corrections.** Please review your Tax Information Statement. If it is incorrect, contact your advisor or financial organization. If necessary, we will promptly correct the information provided to the IRS and mail a Revised Tax Information Statement to you. After the initial mailing, revised statements will begin mailing in February and will be mailed at least weekly from March through the end of June. If an income correction is made to your account after issuing your tax statement and the correction is an increase or decrease of less than \$100 of income, we may not send you a revised tax statement. If you would like to receive revisions that are less than \$100, please contact your investment professional.

**Federal Income Tax Withheld.** Federal income tax withheld is 24% of interest, dividends and proceeds from broker and barter exchange transactions, and could be reported in any of these sections of your Tax Information Statement. Backup withholding applies when certain conditions exist. If this Tax Information Statement reflects backup withholding, you may need to provide a new IRS Form W-9 (Request for Taxpayer Identification Number and Certification). See IRS Form W-9 for information on backup withholding and how to furnish your Taxpayer Identification Number.

**State and Local Tax Reporting.** We are required to provide information to a number of state and local jurisdictions. We report information to California, Connecticut, Massachusetts, Minnesota, New York and Rhode Island concerning municipal bond interest income earned by state residents from bonds not issued by these states. We report certain 1099 information directly to Delaware, District of Columbia, Maine, Massachusetts, Mississippi, Montana, Oregon and Rhode Island. For 2021, we withheld, remitted and reported state income tax for California, Maine and Vermont according to the requirements of those states. We also provided tax information to Puerto Rico as required by the Puerto Rico taxing authority. Check with your tax professional for your specific state and local tax reporting requirements.

**Cost Basis Adjustments.** There are times when your cost basis reported from a broker will not match your calculations for reporting purposes. IRS Form 8949 allows you and the IRS to reconcile amounts that were reported to you and the IRS on IRS Form 1099-B with the amounts you report on your return.

**Important Note Concerning Cost Basis.** Your original cost basis for each security affects much of the reporting in this document. You should pay special attention to the basis of any item where we received the basis from you or a third party. If the original basis shown in this tax document is not correct, then the results of our calculations will likewise produce incorrect results. This IRS requires us to remind you that the taxpayer is ultimately responsible for the accuracy of your tax return.

**Form 2439.** If you held shares in a mutual fund or REIT that paid tax on undistributed long-term capital gains, we will issue IRS Form 2439 (Notice to Shareholder of Undistributed Long-Term Capital Gains) to you. This information is provided after the close of the fund's or the REIT's tax year and will be sent to you shortly after the information becomes available.

**Foreign Tax Paid.** Your Tax Information Statement may include foreign tax paid (withheld) from foreign source dividends and interest credited to your account during 2021. This information allows you to calculate and claim a foreign tax credit or deduction on your tax return. If you are eligible to do so, a foreign tax credit can be claimed either on IRS Form 1116 (Foreign Tax Credit) or, in some circumstances, by reporting it directly on IRS Form 1040, Schedule A (Itemized Deductions). See instructions for both IRS Form 1116 and IRS Form 1040 for additional information on foreign tax credits and deductions. Foreign tax paid is reported in the Form 1099-DIV and Form 1099-DIV sections of your Tax Information Statement. A foreign tax credit may be claimed only if the tax was legally owed and not eligible for a refund.

**Recipient's Name and Address**

**CHARLES J FLEISCHMANN**  
**BRENDA M FLEISCHMANN JT TEN**

**Account Number INT-005005**

**Recipient's Identification**  
**Number: \*\*\*-\*\*-XXXX**

**2021 TAX and**  
**YEAR-END STATEMENT**  
**As of 03/04/2022**  
**Mailed by 03/15/2022**

**Tax Information Statement Instructions (continued)**

IRS Publications. IRS publications are available through your local IRS office, by calling the IRS Forms Distribution Center at (800) TAX-FORM, or visiting the IRS website at [irs.gov](http://irs.gov). For instance, IRS Publication 550 and IRS Publication 1212 provide useful tax information related to reporting securities transactions.

To receive more information regarding your Tax Information Statement and the Tax Guide, including illustrations on how to report your income, visit [mytaxresources](http://mytaxresources).

The instructions contained in this Tax Information Statement are not intended to provide tax advisory services. We suggest that you consult with your tax professional to discuss the appropriate federal, foreign, state and local tax treatment of your transactions. These instructions, as well as your Tax Information Statement, are solely intended to help you accurately data to prepare your income tax return and should not be interpreted or relied upon as tax advice.

Trademarks) belong to their respective owners.





# Attachment 5



INVESTMENT'S  
One North Breckwood Blvd, Suite 800  
Belleville, MO 63403  
314-728-1800

**2021**  
**YOUR TAX INFORMATION STAT**  
As of 02/04/2022  
Mailed by 02/15/2022

**Recipient's Name and Address**

0087011 02 AG 0458 02 X5881D10 TR 00881

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN  
8714 RAMBLING ROSE DR  
DOLTEWAH TN 37363-7118

**Your Financial Advisor Is**

WARD PETTY  
101 BROAD STREET, SUITE 105  
CHATTANOOGA TN 37402-2943  
(423) 668-5411  
DR. CVO



**Account Holder Information**  
Account Number EPR-01885

**General Information**

The following information may be included in this tax statement based on the investments and activity in your account.

**Reportable Information:** IRS Forms 1099-8, 1099-DIV, 1099-INT, 1099-MISC and 1099-OID.

**Non-Reportable Information:** Non-Reportable Information may be provided based on the activity within your account. This additional information is provided to assist you with preparation but it is not reported to the IRS.

**What's New**

**Regulatory Changes**

- IRS Form 1099-DIV has been redesigned to support new reporting requirements for Section 897 Ordinary Dividends (Box 2e) and Capital Gains (Box 2f). As part of the redesign will now summarize federal and state income tax withholding for Dividends and Distributions and Capital Gain Distributions in a separate section.

- IRS Form 1099-MISC has been renamed to Miscellaneous Information in accordance with the IRS change.

**Mail Dates:** You and members of your household may receive tax statements at different times based on the activity and/or holdings within your account. If final tax information pending from an issuer or pending processing when tax statements are prepared, impacted tax statements will be held until the information is complete. Tax statement mailings scheduled to occur in four phases this year: January 31, February 15, February 28 and March 15.

**Tax Information May Be Revised:** You may receive a corrected tax statement. Some issuers provide new information about their securities after we prepare and mail your tax statement. If your tax information needs to be updated, we may be required by the IRS to send you a corrected 1099. Please plan your tax preparation accordingly.

Visit [www.irs.gov](http://www.irs.gov) for IRS Forms, Publications and other resources or you may call (800) 829-1040 (Individuals) or (800) 829-4933 (Businesses).

Visit <http://www.irs.gov> for information and a reference guide to this 1099 tax statement.

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Page 007 (02/04/20)

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Global Wealth Management

**Recipient's Name and Address**

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

**Account Number:** EFP-076595

**Recipient's Identification Number:** \*\*\*-\*\*-1056

**2021**

**YOUR TAX INFORMATION STATEMENT**

**As of 02/04/2022  
Valid by 02/15/2022**

**Electronic Delivery**

Our eDelivery solution provides access to your account information electronically - statements, trade confirmations, account notifications, shareholder communications and tax documents. Benefits of eDelivery include:

- Faster access to account information and documents
- Increased security and safety of personal information
- Less mail and paper to manage

**eDelivery:** Your eDelivery selections for account communications are:

☐ = Not Enrolled

☒ = Enrolled

Statements and Reports  
Trade Confirmations  
Tax Documents  
Notifications  
Prospectus  
Proxy/Shareholder Communications

Please log in to your account or contact your Account Manager to make any changes to your eDelivery preferences.



Recipient's Name and Address  
CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number EPF-01695

Recipient's Identification  
Number: \*\*\*-1056

Payer's Information: PERSHING LLC  
ONE PERSHING PLAZA  
EUREKA, CA 94501

Payer's Federal Identification Number: B-774729

2021

# YOUR TAX INFORMATION STATEMENT

As of 02/04/2022

Issued by 02/16/2022

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

## Summary of Form 1099-B

Details are reported to the IRS. Refer to the 1099-B section of this statement for those details.

	Amount
Gross Proceeds (Covered and Noncovered Transactions)	\$0.00
Cost or Other Basis (Covered Transactions Only)	\$0.00
Federal Tax Withheld - Proceeds	\$0.00
State Tax Withheld - Proceeds	\$0.00
Regulated Futures and Foreign Currency Forward Contracts Profit or (Loss) Realized in 2021	\$0.00
Unrealized Profit or (Loss) on Open Contracts - 12/31/2021	\$0.00
Unrealized Profit or (Loss) on Open Contracts - 12/31/2021	\$0.00
Aggregate Profit or (Loss)	\$0.00
Fed. Tax Withheld - Reg. Futures and Foreign Curr. Forward Contracts	\$0.00
State Tax Withheld - Reg. Futures and Foreign Curr. Forward Contracts	\$0.00

## 2021 1099-BIT Underlying Income

OMB No. 1545-0012

Box	Amount
1	Interest Income
3	Interest on U.S. Savings Bonds & Treasury Obligations
4	Federal Income Tax withheld
5	Investment Expenses
6	Foreign Tax Paid
8	Tax-Exempt Interest
9	Specified Private Activity Bond Interest (Included in Box 8)
10	Market Discount (Covered Transactions Only)
11	Bond Premium (Covered Transactions Only)
12	Bond Premium on Treasury Obligations (Covered Transactions Only)
13	Bond Premium on Tax-Exempt Bonds (Covered Transactions Only)
14	Tax-Exempt and Tax Credit Bond OISIP Number
15 / 16 / 17	State / State ID# / State Tax Withheld
FATCA Filing Requirement	

## 2021 1099-DIV Dividends and Distributions

OMB No. 1545-0010

Box	Amount	
1	Total Ordinary Dividends.....	\$7,703.97
2	Qualified Dividends (Included in Box 1).....	\$2,420.01
2a	Total Capital Gain Distributions.....	\$9,806.89
2b	Unrecaptured Section 1250 Gain (Included in Box 2a).....	\$0.00
2c	Section 1202 Gain (Included in Box 2a).....	\$0.00
2d	Collectibles (28%) Gain (Included in Box 2a).....	\$0.00
2e	Section 897 Ordinary Dividends (Included in Box 1).....	\$0.00
2f	Section 897 Capital Gain (Included in Box 2a).....	\$0.00
3	Nondividend Distributions.....	\$218.95
4	Federal Income Tax Withheld.....	\$0.00
5	Section 199A Dividends (Included in Box 1).....	\$18.23
6	Investment Expenses.....	\$0.00
7	Foreign Tax Paid.....	\$89.75
9	Cash Liquidation Distributions.....	\$0.00
10	Noncash Liquidation Distributions.....	\$0.00
11	Exception Interest Dividends.....	\$0.00
12	Specified Private Activity Bond Interest Dividends (Included in Box 1D).....	\$0.00
15/4/5	State/State ID# /State Tax Withheld.....	
	FATCA Filing Requirement.....	

## Summary of Form 1099-OID

Details are reported to the IRS. Refer to the 1099-OID section of this statement for those details.

Amount	
\$0.00	Original Issue Discount (Over-U.S. Treasury Obligations)
\$0.00	Other Periodic Interest
\$0.00	Market Discount (Covered Transactions Only)
\$0.00	Acquisition Premium (Covered Transactions Only)
\$0.00	Original Issue Discount on U.S. Treasury Obligations
\$0.00	Investment Expenses
\$0.00	Bond Premium (Covered Transactions Only)
\$0.00	Tax-Exempt OID (Covered Transactions Only)
\$0.00	Tax-Exempt OID Specified Private Activity Bonds (Covered Transactions Only)
\$0.00	Federal Income Tax Withheld
\$0.00	State Tax Withheld



2021

**Recipient's Identification**  
 Number **000 00 11756**

**YOUR TAX INFORMATION STATEMENT**  
As of 02/04/2022  
Modified by 02/15/2022

Supplemental information regarding the percentages of tax-exempt income on municipal bond funds by state and the percentages of government agency, direct federal and foreign source income for funds will be available by March 1, 2022, at <http://tiny.cc/bzwresourcea>.

Recipient's Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number: EPF-01095

Recipient's Identification  
Number: \*\*\*-\*\*-1056

2021

YOUR TAX INFORMATION STATEMENT  
As of 02/04/2022  
Method by 02/15/2022

DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)

Supplemental information regarding the percentages of tax-exempt income on municipal bond funds by state and the percentage of government agency, direct federal and foreign source income for funds will be available by March 1, 2022, at <http://bny.mn/taxresources>.

Description	Date Paid	Total Ordinary Dividends (Box 1)	Qualified Dividends (Box 2)	Total Capital Gains (Box 3)	Section 1292 Dividends (Box 4)	Section 1294 Dividends (Box 5)	Section 1295 Dividends (Box 6)	Section 1296 Dividends (Box 7)	Section 1297 Dividends (Box 8)	Section 1298 Dividends (Box 9)	Section 1299 Dividends (Box 10)	Section 1299 Dividends (Box 11)	Section 1299 Dividends (Box 12)	Section 1299 Dividends (Box 13)	Section 1299 Dividends (Box 14)	Section 1299 Dividends (Box 15)	Section 1299 Dividends (Box 16)	Section 1299 Dividends (Box 17)	Section 1299 Dividends (Box 18)	Section 1299 Dividends (Box 19)	Section 1299 Dividends (Box 20)	Section 1299 Dividends (Box 21)	Section 1299 Dividends (Box 22)	Section 1299 Dividends (Box 23)	Section 1299 Dividends (Box 24)	Section 1299 Dividends (Box 25)	Section 1299 Dividends (Box 26)	Section 1299 Dividends (Box 27)	Section 1299 Dividends (Box 28)	Section 1299 Dividends (Box 29)	Section 1299 Dividends (Box 30)	Section 1299 Dividends (Box 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Recipient's Name and Address  
**CHARLES J FLEISCHMANN**  
**BRENDA M FLEISCHMANN JT TEN**

Account Number EFT-01695  
 Recipient's Identification  
 Number: 105

**2021**  
**YOUR TAX INFORMATION STATEMENT**  
 As of 02/04/2022  
 Mailed by 02/15/2022

**DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)**

(continued)

Description	Date	Total Ordinary Dividends (Box 1)	Total Capital Gains (Box 2)	Section 179 Ordinary Dividends (Box 3)	Qualified Dividends (Box 4)	Section 179A Dividends (Box 5)	Investment Income (Box 6)	Foreign Tax Paid (Box 7)
<b>REBELTY FLOATING RATE HIGH INCOME FUND</b>								
CUSIP: 31596783	02/01/2021	54.12						
	03/01/2021	46.28						
	04/01/2021	49.77						
	05/03/2021	52.24						
	06/01/2021	49.76						
	07/01/2021	48.37						
	08/02/2021	52.98						
	09/01/2021	52.28						
	10/01/2021	48.62						
	11/01/2021	50.85						
	12/01/2021	47.64						
	12/23/2021	26.67						
	01/03/2022	51.88						
		<b>633.11</b>						

<b>FIRST EAGLE GLOBAL FUND CLASS I</b>	12/02/2021	114.17						
CUSIP: 30086606	12/02/2021	519.27						
	12/02/2021	19.37						
		<b>514.97</b>						
		<b>1,227.47</b>						

<b>HARBOR BOND FUND INSTITUTIONAL CLASS</b>	03/31/2021	69.26						
CUSIP: 41551008	04/30/2021	28.60						
	05/28/2021	27.83						
	06/30/2021	22.56						
	07/30/2021	26.63						
	08/31/2021	29.26						
	09/30/2021	49.16						
	10/29/2021	46.74						
	11/30/2021	45.73						
	12/21/2021	40.40						
		<b>652.81</b>						
		<b>534.34</b>						
		<b>1,227.47</b>						

Page 3 of 8

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U.S. Department of the Treasury  
 U.S. Department of the Treasury  
 U.S. Department of the Treasury

Charles Schwab Financial LLC, a wholly owned  
 subsidiary of The Charles Schwab Corporation  
 (NYSE: SCHW)

Backlog's Name and Address  
CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number EPF-07895  
Recipient's Identification  
Number: \*\*\*-1056

2021  
YOUR TAX INFORMATION STATEMENT  
As of 02/04/2022  
Mailed by 02/18/2022

DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)

(continued)

Description	Date	Total Ordinary Dividend (Box 1b)	Qualified Dividend (Box 1c)	Total Capital Gains Dividend (Box 2d)	Section 507 Ordinary Dividend (Box 2e)	Reinvested Dividend (Box 3)	Section 504 Dividend (Box 5)	Dividend Expense (Box 6)	Foreign Tax Paid (Box 7)
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THE OAKMARK GLOBAL FUND INVESTOR CLASS	12/17/2021	318.76	318.76	2,275.66					50.71
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5 - FRAC 3330 FOREIGN % 78.29982		644.95							
CUSIP: 41869830 FOREIGN CORP, OTHER									

PRINCO INCOME FUND INSTITUTIONAL CLASS	02/01/2021					73.03			
CUSIP: 72206-490	03/01/2021					73.03			
	04/01/2021					72.89			

	05/03/2021	72.96	1.20						
	06/01/2021	73.03	1.20						
	07/01/2021	72.94	1.20						
	08/02/2021	72.96	1.20						
	09/01/2021	72.94	1.20						
	10/01/2021	19.45	0.32						

		384.28	6.32			218.95			
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PRINCO INCOME FUND CLASS I-2	10/01/2021	52.14	0.86						
CUSIP: 72206-490	11/01/2021	71.05	1.17						
	12/01/2021	71.10	1.17						
	01/03/2022	71.23	1.18						

		265.52	4.38						
TRONE PRICE BALANCED	03/30/2021	114.13	37.91				0.61		
5 - FRAC 4140	06/29/2021	195.65	64.99				1.04		
CUSIP: 77546108	09/29/2021	130.43	43.33				0.69		
	12/14/2021	118.82	59.58						
	12/14/2021	437.63							

See page 1000000

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Send Dividend  
and Distribution Payments  
Directly to Your Brokerage  
Account

Charles Schwab Financial LLC, a wholly owned  
subsidiary of The Charles Schwab Corporation (NYSE:CSW)  
Member SIPC

2021

**YOUR TAX INFORMATION STATEMENT**  
As of 02/04/2022  
Modified by 02/15/2022

**(continued)**

Description	Date Paid	Total Ordinary Dividends (Per \$6)	Cumulative Dividends (Per \$6)	*Total Capital Gains Dividends (Per \$6)	Billion 097 Ordinary Dividends (Per \$6)	Nonqualified Dividends (Per \$6)	Billion 179A Dividends (Per \$6)	Investment Expenses (Per \$6)	Foreign Tax Paid (Per \$7)
VANEWARD WELLESLEY INCOME FUND INVESTOR SHARES 5 - FRAC. ZZZX CUSIP: 927839106	03/25/2021 06/21/2021 09/20/2021 12/21/2021 12/21/2021	190.52 3.03  1,190.21	189.57   395.38	3,097.79   3,097.79	   6.32	   1.49 1.21 1.51 1.59	0.95 3.03  6.32	   5.80	
Dividends - U.S. Corporations ----- Dividends - Foreign Corporations ----- Other		\$7,009.94  614.03	\$1,868.69  556.32	\$9,806.97  \$9,806.97	\$0.00  \$0.00	\$216.95  \$0.00	\$18.23  \$0.00	\$0.00  \$0.00	\$80.79  \$80.79
<b>Total:</b>		<b>\$7,208.97</b>	<b>\$2,425.01</b>	<b>\$9,806.97</b>	<b>\$0.00</b>	<b>\$216.95</b>	<b>\$18.23</b>	<b>\$0.00</b>	<b>\$80.79</b>

Dividends and other distributions from corporations, mutual funds, Exchange Traded Funds (ETF) (treated as mutual funds for tax purposes), Unit Investment Trusts (UIT), and Real Estate Investment Trusts (REIT) are reported in this section of your Tax Information Statement. Income derived from money market funds will also be reported in this section. You will receive a separate IRS Form 1099-DIV directly from a money market fund if we did not handle the processing of your funds for the entire year.

**Box 1a—Total Ordinary Dividends.** Ordinary dividends, which include any net short-term capital gains from a mutual fund, are fully taxable. Ordinary dividends paid by corporations, mutual funds, and certain UITs are included in this section of your Tax Information Statement. Subclaims for U.S. and foreign sources ordinary dividends are included at the end of this section. For mutual funds and UITs, foreign income includes any distribution that is comprised in whole or in part of foreign-sourced ordinary dividends. Report total ordinary dividends on IRS Form 1040. Also report them on IRS Form 1040 Schedule B, if required.

**Box 1b—Qualified Dividends.** This shows the portion of the amount in Box 1a that may be eligible for reduced capital gains rates. See the Form 1040 instructions for how to determine this amount. Report the eligible amount as a dividend on IRS Form 1040.

**Box 2a—Total Capital Gain Distributions.** This shows total capital gain distributions (long-term) from a regulated investment company (RIC) or REIT. Report the amounts shown in Box 2a on Schedule D (Form 1040). But, if no amount is shown in Boxes 2b, 2c, 2d, and 2f and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in Box 2a on IRS Form 1040 rather than Schedule D. See IRS Form 1040 instructions.





**Recipient's Name and Address**  
CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT EN

**Account Number** EPF-01695

**Recipient's Identification Number** \*\*\*-\*\*-1056

**2021**

## YOUR TAX INFORMATION STATEMENT

As of 02/04/2022  
Mailed by 02/15/2022

### IRS Form 1099-DIV—Dividends and Distributions (continued)

**Box 2b—Unrecaptured Section 1250 Gain.** This shows the portion of the amount in Box 2a that is an Unrecaptured Section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the instructions for Schedule D (IRS Form 1040).

**Box 2c—Section 1202 Gain.** This shows the portion of the amount in Box 2a that is a Section 1202 gain from certain small business stock that may be subject to 50% exclusion. See the Schedule D (IRS Form 1040) instructions.

**Box 2d—Collectibles (28%) Gain.** This shows the 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the instructions for Schedule D (IRS Form 1040).

**Box 2e—Section 897 Ordinary Dividends.** Shows the portion of the amount in box 1a that is section 897 gain attributable to disposition of U.S. real property interests (USRPI).

**Box 2f—Section 897 Capital Gain.** This shows the portion of the amount in box 2a that is section 897 gain attributable to disposition of USRPI.

**Notes:** Boxes 2e and 2f apply only to foreign persons and entities whose income maintains its character when passed through or distributed to its direct or indirect foreign owners or beneficiaries. It is generally treated as effectively connected to a trade or business within the United States. See the instructions for your tax return.

**Box 3—Nondividend Distributions.** This shows the part of the distribution that is nontaxable because it is a return of your cost (or other basis). You must reduce your cost (or other basis) by this amount for figuring gain or loss when you sell your investment. But if you have recovered all your cost (or other basis), report future nontaxable distributions as capital gains, even though this form shows them as nontaxable. See IRS Publication 550, Investment Income and Expenses (Including Capital and Losses).

**Box 5—Section 199A Dividends.** This shows the portion of the amount in Box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 9995 and Form 9995-A.

**Box 6—Investment Expenses.** Your share of a UIT or a WHFT's expenses are reported in Box 6. These expenses are included in Box 1a.

**Box 7—Foreign Tax Paid.** This shows the foreign tax you may be able to claim as a deduction or a credit on IRS Form 1040. See the IRS Form 1040 instructions and the Foreign Tax Paid section of these instructions.

### Tax Information Statement Instructions

The Tax Information Statement provides a detailed summary of your account transactions during 2021. It includes information related to transactions we are required to report to the IRS, as well as information that we do not report. The instructions are provided to help you prepare your tax returns. For a more detailed explanation of your Tax Information Statement and to view the Tax Guide, please visit [my.irs.gov/resources](http://my.irs.gov/resources). If your account was transferred to our firm during 2021, your Tax Information Statement only includes your activity during the time you conducted business with our firm. Your former firm should provide you with IRS Form 1099 reporting for prior activity. These instructions have been tailored for use by taxpayers that are U.S. individuals who are investors for tax purposes.

### Additional Information

**Recipient's Identification Number.** For your protection, this form shows only the last four digits of your Social Security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN) or employer identification number (EIN). However, Pershing LLC will report your complete identification number to the IRS and, where applicable, to state or local governments.

**Account Number.** A unique number the payer assigned to distinguish your account.

**FATCA Filing Requirement.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the instructions to Form 9938. For 2021, this box has been intentionally left blank.

**Electronic Delivery.** The IRS allows for the electronic delivery (eDelivery) of 1099 forms, and Pershing offers electronic delivery of this Tax Information Statement. If you would like to receive eDelivery, speak to your advisor or financial organization for more information.



Recipient's Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number EP-0705495

Recipient's Identification  
Number: \*\* - 0356

2021

## YOUR TAX INFORMATION STATEMENT

As of 02/04/2022  
Mailed by 02/15/2022

### Tax Information Statement Instructions (continued):

**Nonresident Recipients.** If your truncated Social Security number or Employer Identification Number is shown on your Tax Information Statement, and the statement includes amounts belonging to another person, you are considered a nominee recipient. Generally, you must file IRS Form 1099 for each of the other owners, showing the income allocable to each. File the applicable IRS Form 1099, along with IRS Form 1096 (Annual Summary and Transmittal of U.S. Information Returns), with the IRS center in your area. Let yourself as the payer on IRS Form 1099 and as the filer on IRS Form 1096. Let the other owner(s) as the recipient(s) on IRS Form 1099. You must provide a copy of each IRS Form 1099 you file to the other owner(s). Spouses are not required to file a nominee return to show amounts owned by their spouse.

**Payer.** The payer for all transactions on your Tax Information Statement is Pershing LLC (Taxpayer Identification Number 13-2747729). This name and Taxpayer Identification Number should be listed whenever the payer's name is requested on an IRS form with respect to amounts reported on your Tax Information Statement.

**Corrections.** Please review your Tax Information Statement. If it is incorrect, contact your advisor or financial organization. If necessary, we will promptly correct the information provided to the IRS and mail a Revised Tax Information Statement to you. After the initial mailing, revised statements will begin mailing in February and will be mailed at least weekly from March through the end of June. If an income correction is made to your account after issuing your tax statement and the correction is an increase or decrease of less than \$100 of income, we may not send you a revised tax statement. If you would like to receive revisions that are less than \$100, please contact your investment professional.

**Federal Income Tax Withheld.** Federal income tax withheld is 24% of interest, dividends and proceeds from broker and barter exchange transactions, and could be reported in any of these sections of your Tax Information Statement. Backup withholding applies when certain conditions exist. If this Tax Information Statement reflects backup withholding, you may need to provide a new IRS Form W-9 (Request for Taxpayer Identification Number and Certification). See IRS Form W-9 for information on backup withholding and how to furnish your Taxpayer Identification Number.

**State and Local Tax Reporting.** We are required to provide information to a number of state and local jurisdictions. We report information to California, Connecticut, Massachusetts, Minnesota, New York and Rhode Island concerning municipal bond interest income earned by state residents from bonds not issued by these states. We report certain 1099 information directly to Delaware, District of Columbia, Maine, Massachusetts, Mississippi, Montana, Oregon and Rhode Island. For 2021, we withheld, remitted and reported state income tax for California, Maine and Vermont according to the requirements of those states. We also provided tax information to Puerto Rico as required by the Puerto Rico taxing authority. Check with your tax professional for your specific state and local tax reporting requirements.

**Cost Basis Adjustments.** There are times when your cost basis reported from a broker will not match your calculations for reporting purposes. IRS Form 8949 allows you and the IRS to reconcile amounts that were reported to you and the IRS on IRS Form 1099-B with the amounts you report on your return.

**Important Note Concerning Cost Basis.** Your original cost basis for each security affects much of the reporting in this document. You should pay special attention to the basis of any item where we received the basis from you or a third party. If the original basis shown in this tax document is not correct, then the results of our calculations will likewise produce incorrect results. The IRS requires us to remind you that the taxpayer is ultimately responsible for the accuracy of your tax return.

**Form 2439.** If you held shares in a mutual fund or REIT that paid tax on undistributed long-term capital gains, we will issue IRS Form 2439 (Notice to Shareholder of Undistributed Long-Term Capital Gains) to you. This information is provided after the close of the fund's or the REIT's tax year and will be sent to you shortly after the information becomes available.

**Foreign Tax Paid.** Your Tax Information Statement may include foreign tax paid (withheld) from foreign source dividends and interest credited to your account during 2021. This information allows you to calculate and claim a foreign tax credit or deduction on your tax return. If you are eligible to do so, a foreign tax credit can be claimed either on IRS Form 116 (Foreign Tax Credit) or, in some circumstances, by reporting it directly on IRS Form 1040, Schedule A (Itemized Deductions). See instructions for both IRS Form 116 and IRS Form 1040 for additional information on foreign tax credits and deductions. Foreign tax paid is reported in the Form 1099-DIV sections of your Tax Information Statement. A foreign tax credit may be claimed only if the tax was legally owed and not eligible for a refund.



Recipient's Name and Address  
CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number EPP-010195  
Recipient's Identification  
Number: \*\*\*-XX-3556

2021  
YOUR TAX INFORMATION STATEMENT  
As of 02/04/2022  
Mailed by 02/15/2022

**Tax Information Statement Instructions (continued):**  
IRS Publications. IRS publications are available through your local IRS office, by calling the IRS Forms Distribution Center at (800) TAX-FORM, or visiting the IRS website at [irs.gov](http://irs.gov). For instance, IRS Publication 550 and IRS Publication 1212 provide useful tax information related to reporting securities transactions.  
To receive more information regarding your Tax Information Statement and the Tax Guide, including illustrations on how to report your income, visit [my.irs.gov/taxresources](http://my.irs.gov/taxresources).  
The instructions contained in this Tax Information Statement are not intended to provide tax advisory services. We suggest that you consult with your tax professional to discuss the appropriate federal, foreign, state and local tax treatment of your transactions. These instructions, as well as your Tax Information Statement, are solely intended to help you accumulate data to prepare your income tax return and should not be interpreted or relied upon as tax advice.  
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Sample (EPP 10/2010)

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Charles Schwab Financial LLC, a wholly owned  
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Corporation (BNY Mellon)  
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